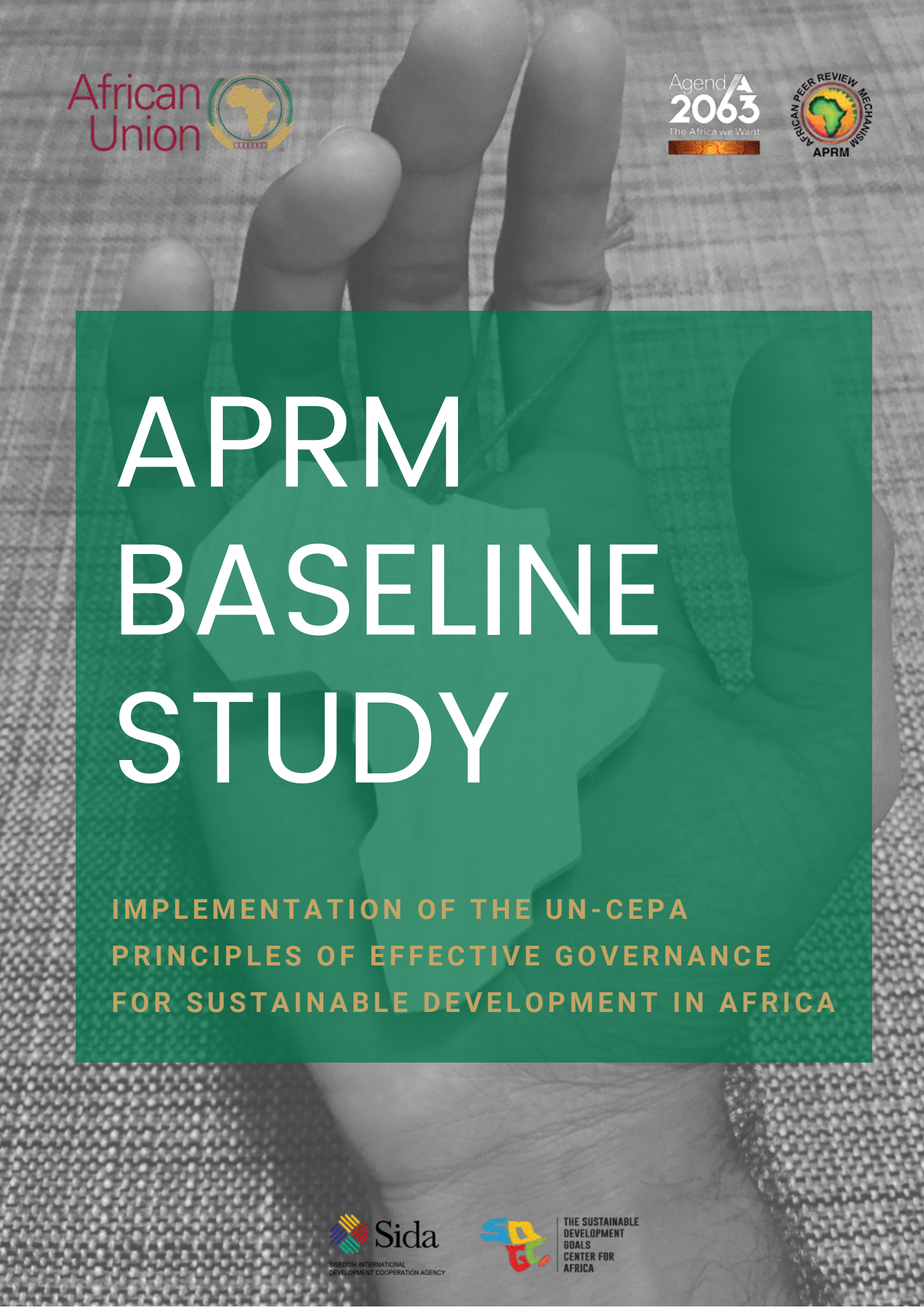

African Union

Agenda 2063
The Africa we Want

African Peer Review Mechanism
APRM

APRM BASELINE STUDY

IMPLEMENTATION OF THE UN-CEPA PRINCIPLES OF EFFECTIVE GOVERNANCE FOR SUSTAINABLE DEVELOPMENT IN AFRICA

Sida
SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY

THE SUSTAINABLE DEVELOPMENT GOALS CENTER FOR AFRICA

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Foreword

The APRM Baseline study on the implementation of the Committee of Experts of Public Administration (CEPA) principles is informed by the trajectory of Africa's development as charted in Agenda 2063, The Africa we Want and the United Nations Sustainable Development Goals (SDGs), "Transforming our world: the 2030 Agenda for Sustainable Development." The intention is to accelerate the attainment of the most ambitious global agenda ever taking into account, both the content and context of government with a clear view of the world in 2030. We do so having lived through 2020 and 2021 with the COVID-19 pandemic. This experience should lead us to a greater realisation that the context within which the SDGs are situated must not be expressed in static terms, as if, the world ten years from now, will be the same as today.

Emergent signals suggest that ten years from now the world will most certainly be with less and without greater globalisation. It will almost certainly be a polycentric world, be more diffractive, more prismatic and more diversified than World War II. The need for a UN away from hegemony and global cooperation and concertation, not one size fits all solutions and edicts from a superpower, will be even greater than ever.

The Baseline study was proposed at the African Peer Review Mechanism African Regional workshop that took place in October to November 2019, in Pretoria, South Africa. Its significance is put to the test by the COVID-19 pandemic and how governments will utilise it, including under conditions of crises, in the attainment of Agenda 2063 and Agenda 2030, taking into account the differing contexts of sub-regions and countries.

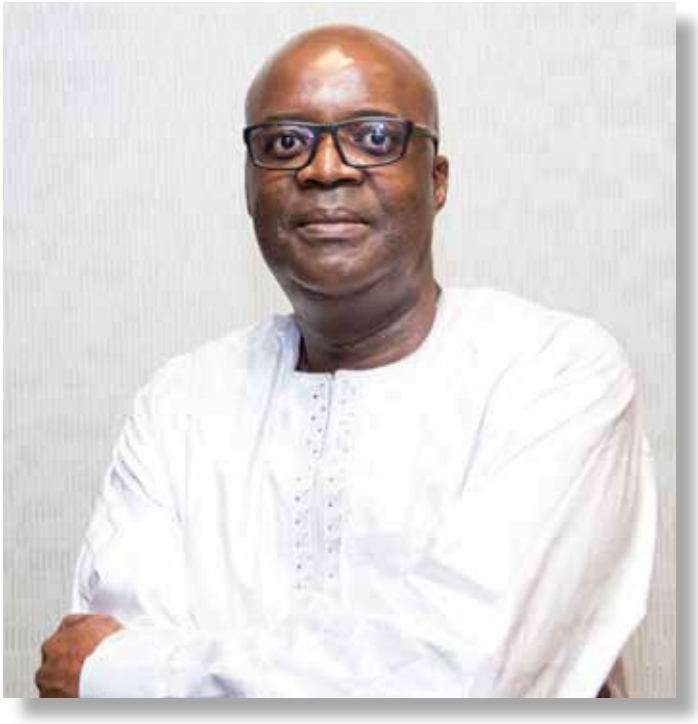
I believe the study provides us with an opportunity to recalibrate our rhetoric as we turn to action. In this regard, we need governments, we also need public administration to deal with all monumental challenges that face our countries, our communities and humanity as a whole. In its foresight, SDG 16 captures this ambition succinctly by aiming *"to promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels."* This study provides us an invaluable baseline from which to build.

We need governments working together through the United Nations and/or its regional structures, in this instance the African Union Commission, to address and help resolve issues like climate change, and inequality which have escalated during the past forty years. Global poverty which has in the last decade shown some decline, still remains stubborn and will be assisted by COVID-19 to increase.

As stated in the Charter of Nations (San Francisco, 1945), to which the "African Claims Charter" may also have had some input, the world is ever more compelled "to reaffirm the faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women and of nations large and small, and to establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained, and to promote social progress and better standards of life in larger freedoms." It is to these global questions that UN-CEPA contributes eleven principles and explores the application of sixty-two commonly deployed strategies to address these challenges.

Prof. Geraldine Fraser-Moleketi,
UN CEPA Chairperson and Chancellor of Nelson Mandela University

Acknowledgements



This Report serves as a reference for African experts and policymakers on the UN Committee of Experts on Public Administration (CEPA) principles for effective governance of SDGs and Agenda 2063 *The Africa we Want*. As Africa's home-grown organization encourages sharing best practices on good governance amongst African Union's member states, this study comes when the pandemic COVID-19 imposes severe daunting consequences on Africa's human and socio-economic integration aspirations. Over the last three years, the APRM has been privileged to participate in CEPA activities and annual meetings as an observer. The humble APRM baseline study on these principles is an outcome of Member-States' recommendations to prepare a knowledge product on these principles and their applicability on the African context.

The Report was prepared under the supervision of Prof. Geraldine Fraser-Moleketi, Chairperson of the CEPA at the United Nations Department of Social and Economic Affairs (UN DESA) and Chancellor of Nelson Mandela University. The APRM-CEPA Taskforce was set up during the initial consultations on the Report in January 2020 to provide technical oversight on the CEPA Report. The Taskforce members include H.E. Salah Hammad, Head of the African Governance Architecture (AGA) Secretariat, AU Commission; Charity Hanene Nchimunya, Executive Director of the African Union Advisory Board on Corruption; Enock Nyorekwa Twinoburyo, Ph.D., Senior Economist, and Ambrose Rwaheru Aheisibwe, Ph.D., Acting Sub Regional Director at the Sub Regional Centre for Southern Africa – Lusaka, Zambia, SDGs Centre for Africa; Dr. Felicien Usengumukiza, Head of Research, Rwanda Governance Board. The study was supported by one of the APRM Strategic Partners – the Swedish International Cooperation Agency (SIDA).

Preparation of the Report was coordinated by Ms. Sara Tawfik Hamouda, Officer in Charge of Agenda 2063 / SDGs Unit, under the supervision of Mr. Jean-Yves Adou, Monitoring and Evaluation Coordinator at the APRM Continental Secretariat. The APRM is grateful for contributions from Patrick Spearing, CEPA Secretariat at the United Nations, Prof. Pali Lehohla, Former South African Statistician General (consultant); Prof. Geert Bouckaert, UN-CEPA Expert and professor at the KU Leuven Public Governance Institute. Further, a team of APRM Researchers was designated to collect and analyse data for all five regions of the Continent. The Research Team consisted of Mr. Emmanuel Merissa Anna, Ms. Rutendo Nazare and Ms. Karabo Chadzingwa. We sincerely thank them for the hard work they put into the preparation of this Report.

Our sincere thanks also go to the following: Mr. Loot Janse van Rensburg (Knowledge Management) and Mr. Sampson Osei (Statistician at APRM) for assisting in drafting and populating the CEPA questionnaire and administering it to respondents and collecting all the data from Member-States for analysis. The questionnaire analysis was conducted by Prof. Pali Lehohla. Our appreciation also goes to all stakeholders and policymakers, including Member-State Representatives, who responded to the questionnaire and participated in the validation meeting of the said report in Djibouti on 24 February 2021. We also commend the stewardship of Ms. Julia Kiguru, who provided logistical and administrative support throughout the process.

Prof. Eddy Maloka,
Chief Executive Officer, APRM

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Acronyms

ACC	Anti-Corruption Commission
ACDEG	African Charter on Democracy, Elections and Governance
AFDB	African Development Bank
AFROSAI-E	African Organisation of English-speaking Supreme Audit Institutions
AGA	African Governance Architecture
APRM	African Peer Review Mechanism
AU	African Union
AUC	African Union Commission
CAPMS	Central Agency for Public Mobilization and Statistics
CEPA	Committee of Experts on Public Administration
DAC	OECD-Development Assistance Committee
ECOSOC	UN Economic and Social Affairs Council
EIA	Environmental Impact Assessment
ESIA	Environmental and Social Impact Assessments
ETI	Employment Tax Incentive
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FGD	Focus group discussions
FTYIP	First Ten-Year Implementation Plan (FTYIP) of Agenda 2063
GDP	Gross Domestic Product
HCI	Human Capital Index
HLPF	High Level Political Forum
ICT	Information and Communications Technology
IEA	International Energy Agency
IFAD	International Fund for Agricultural Development
ILO	International Labour Organization
IMF	International Monetary Fund
KII	Key Informant Interviews
MDA	Ministries, Departments and Agencies
MDG	Millennium Development Goal
MPMAR	Ministry of Planning, Monitoring and Administrative Reform
NCCP	National Climate Change Policy
NDC	Nationally Determined Contribution

NDPC	National Development Planning Commission
NEET	Not in Education, Employment or Training
NGO	Non-Governmental Organization
NIT	National Institute for Training
NMI	National Management Institute
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
OHCHR	Office of the (UN) High Commissioner for Human Rights
PPE	Personal Protective Equipment
PPP	Purchasing Power Parity
PSR	Pressure-State-Response
RCC	Regional Coordinating Council
SDGCA	Sustainable Development Goals Centre for Africa
SDGs	Sustainable Development Goals
SDSN	Sustainable Development Solutions Network
SDP	Statistics Development Projects
SDS	Sustainable Development Strategy: Egypt vision 2030
SHaSA	Strategy for the Harmonization of Statistics in Africa
SPMP	Sound Policy Making Projects
ST	Strategic Transformation Projects
SPSS	Statistical Package for Social Sciences
SSA	Sub Saharan Africa
SWOT	Strengths, Weaknesses, Opportunities and Threats
UN DESA	United Nations Department of Economic and Social Affairs
UNICEF	United Nations International Children's Emergency Fund
UN	United Nations
USAID	United States Agency for International Development
VNR	Voluntary National Reviews
WEF	World Economic Forum
WFP	World Food Programme
WHO	World Health Organization
STC	Specialized Technical Committee
VEC	Economic Watch Committee

Executive Summary

The quest for Africa's development as envisioned and defined in the African Union (AU) Agenda 2063, *The Africa we Want* and the United Nations Sustainable Development Goals (SDGs) will come to naught in the absence of developing engagement tools for efficient governance, investment in human and capital resources alongside societal mobilisation. In the context of institutions matter for sustainable development, the United Nations Committee of Experts on Public Administration (CEPA) came up with eleven principles known as the "CEPA principles" for effective governance of SDGs in 2018, identifying sixty-two strategies to assist countries in domestication and monitoring of both agendas. Therefore, successful planning and implementation depends on how a politically inclusive mobilising philosophy, a socially effective and desirable development plan embraces these engagement tools as lenses through which these two agendas are understood and addressed at all society levels.

The Africa Peer Review Mechanism (APRM) has an expanded dual mandate of monitoring and evaluating AU Agenda 2063 and SDGs 2030. Particular focus is on SDG 16 - effective, strong, and efficient institutions and peaceful societies which encounters aspirations three and four of Agenda 2063: aspiration three - An Africa of Good Governance, Democracy, Respect for Human Rights, Justice and the Rule of Law and aspiration four - A Peaceful and Secure Africa. At the backdrop of complexities to implementation, reporting and realisation of both agendas across the Continent, the APRM took the lead to conduct this baseline study on CEPA principles of effective governance of SDGs 2030 and AU Agenda 2063.

The captioned study's development derives from the APRM Africa Regional Workshop's recommendations on Effective Governance for Sustainable Development, which was held from October 30th to November 1st, 2019 in Pretoria, South Africa. As an outcome of this workshop, the APRM and the United Nations Department of Economic and Social Affairs (UN DESA) resolved to undertake a baseline study on the status of implementation of the eleven (11) UN-CEPA principles - of effective governance for sustainable development in Africa.

The study's significance is assured with the current global health crisis created by COVID-19. A health crisis on a global scale has transformed into an economic, social, and political challenge for which the world is seeking answers to resolve the menacing pandemic, which is now a year-old in Africa. Some critical pointers towards what questions to ask to derive from the pandemic impact on both agendas as well as on the strategic and practical application of the UN-CEPA Principles. While, the baseline study on awareness, knowledge, and understanding of the UN-CEPA principles was envisaged in a period that precedes COVID-19, how the world approaches and addresses the COVID-19 and post COVID-19 environment from a good governance perspective remains critical. And how governments shall proceed to achieve or otherwise, Agenda 2063 and the SDGs will benefit from the serendipitous alignment calibration of the UN-CEPA principles study and these two agendas still needs further clarity.

What are the UN-CEPA Principles?

The CEPA principles revamp societal, political, and economic strategies and guidelines for SDGs' effective governance. It frames the long-term global goals of sustainability along with eleven principles that address three key contexts. The first is the context of effectiveness, and this is described and expatiated upon by three areas of competence, sound policymaking, and collaboration. The second is about accountability. The descriptors of this aspect are integrity, transparency, and independent oversight. Finally, the third context is of Inclusiveness, which includes leaving no one behind, non-discrimination, participation, Subsidiarity, and integrational equity. Given the complex and interlinked nature of SDGs and Agenda 2063 aspirations, it is incredibly challenging to have a clear picture of the understanding, implementation, and knowledge of citizens and even experts on CEPA principles and how they are incorporated at the national level.

To explore this complexity, CEPA has come up with 62 commonly used strategies associated with the captioned principles. These strategies display public policies pertinent to strengthening public administration settings. In this regard, the principles are being tested in the context of the APRM. Further, a selected number of African countries have been willingly active in figuring out whether national executives and practitioners can understand these principles and implement principles and strategies at national levels. The purpose is to deploy appropriate ways to ensure that the officers in charge are empowered to capitalize on these tools to achieve service effectiveness through accountability and Inclusiveness strategies in public administration.

The structure and approach of the Report

This Report covers five chapters. Chapter One highlights the study's rationale and main objectives, outcomes alongside methodology and strategic partners. Chapter Two reflects on the "*Progress of SDGs and Agenda 2063 in* Africa" with a particular focus on SDG 16 and how COVID-19 affected the implementation of SDGs in 2020. Chapter Three, entitled "*Understanding the CEPA Principles*" provides the framework within which these principles were constructed and advocated for. It also explains the challenges of measurability of the captioned principles and some recommendations in this regard.

Chapter Four introduces the APRM Instrument, which is developed to assess and provide quantitative analysis on the level of *Awareness, Knowledge, Understanding, and Implementation of CEPA Principles in Africa*. The analysis interpreted responses of national bureaucrats, civil society, and academia representatives from thirteen African countries. It also reports on how the pandemic has leveraged or derailed the implementation of CEPA principles. Finally, Chapter Five offers a brief on the "*African Countries Experiences with CEPA Principles; Putting Principles into practice*" and draws on case studies of policy design and implementation in countries. From these, it draws lessons on how in the different contexts the principles are applied. The case studies have been written for selected countries: Egypt, Botswana, Ghana, Kenya, South Africa, Sudan, and Senegal.

The study followed a mixture of methods; first, a desk and exploratory review on implementing CEPA principles and strategies in selected African countries and the progress of SDGs 2030 and AU 2063. Second, a survey questionnaire testing awareness, knowledge, understanding, and implementation of the principles in the context of COVID-19 along with side consultations with national executives. The results of the survey are divided into four areas: 1) respondents' demographics; 2) their level of awareness, knowledge and understanding of the principles; 3) application of the UN-CEPA principles in policy work; 4) COVID-19 impact on the 62 CEPA strategies amongst the governments' various protective and recovery measures and emerging opportunities.

Seventeen countries were selected to answer the APRM-CEPA e-questionnaire based on different criteria, including geographical balance, progress on SDGs and agenda 2063, engagement in APRM governance assessment reviews the country's responsiveness to submit voluntary national reviews (VNRs). However, the APRM got responses from the following thirteen (13) countries: Egypt, Botswana, Ghana, Kenya, Lesotho, Mauritius, Nigeria, Rwanda, Sudan, South Africa, Senegal, Tunisia, and Uganda.

The study also utilised key informant interviews. The study had the ambition to reach a minimum of a hundred respondents across all seventeen selected countries. The study only got 26 respondents across 13 countries which provided less than half the number of respondents per country. Regardless, the study has yielded instructive results based on its crucial informant approach. The baseline study is viewed as having reasonably covered the necessary work scope as anticipated. The key informants were experienced public officials with appreciable experience and significant exposure to education, as a number are professors at universities or public management training institutions.

Key findings of the Report

- The UN-CEPA principles in the context of the expanded mandate of the APRM, namely of monitoring and evaluating the implementation of Agenda 2063, The Africa we Want and UN SDGs Agenda 2030 are relevant. The principles come in at the right time and should empower the APRM in executing its task.

- CEPA principles assure the solid and positive linkages between the institution-building objectives of the 2030 Agenda and all the SDGs. For example, exploring innovative financing sources, managing public-private partnerships, adopting new approaches to biodiversity preservation, improving wastewater treatment, strengthening social protection, and expanding access to health care all require adequate capacity institutions. SDG 16 matters for all SDGs.

- In the context of COVID-19, the CEPA principles offer essential recommendations, including strengthening institutions' competence by leveraging digital Government calls for greatly accelerated action to address digital divides within and across countries. The impact of digital Government on achieving the goals, in general, is determined by social and economic circumstances, for example, relating to the learning environment or access to water and sanitation in combating disease. Also, artificial intelligence and other technologies are expected to shift and disrupt labour markets, which may significantly impact occupational groups involved in public service delivery. Investment in digital Government and related infrastructure, knowledge, and capabilities should thus be considered within the context of national sustainable development strategies and priorities.

- The global SDG Index 2020 and Dashboards infer that Africa continues to make marginal progress on SDGs, with the score increasing by a point annually. However, no African country is in the top 55 countries. North Africa is the best-performing region on average. The best-ranked, Algeria only appears 56th with a score of 72.3, meaning that the country is respectively on average 72.3% of the way to the best possible outcome across the 17 SDGs. The best possible outcome being 100%. The Sub-Saharan Africa average score is lower at 53.1, and the region is stagnating towards SDG 2030 targets on goals (1-7), 11, 16, and 17. Performance gaps remain wide-ranging, especially on poverty and education. The same findings are corroborated by the 2020 Africa SDG index and Dashboards.

- SDG 16 progress reporting is improving compared to the last three years. Yet, African countries face various critical statistical gaps to capture most of the indicators pertinent to this goal. Further, institutional aspects of SDG 16 – mainly inclusiveness, effectiveness, and government integrity, are challenged by the pandemic effects in 2020.

- SDGs Financing in Africa in the context of COVID-19 is another challenge listed by many African countries. The decline of Official Development Assistance (ODA), Foreign Direct Investment (FDI), and remittances to the Continent will derail most SDGs' overall progress. The respective financing was gravely dented by COVID-19 in 2020. Thus, CEPA principles and its strategies which include tackling Africa's long-lasting financial fatigues, i.e., external debt and illicit financial flows, shall be necessary and require accelerated implementation and collaboration.

- The pandemic has underscored the central role of effective, accountable, and inclusive institutions at all levels that are capable of coping with complex and urgent governance challenges. This includes local authorities and communities working in partnership with civil society and the private sector in crisis response and ongoing contextualised implementation of the SDGs.

- The level of awareness and knowledge of CEPA principles varies across the Continent amongst national executives. The discrepancy from awareness, knowledge, and understanding of the principles is severely vast. Further, the way of implementation of most of the principles and strategies is not standardised. For instance, the claim on knowledge of principles is about 80%, but this can be contrasted with the ability to classify the principles correctly, which shows profound disparities.

- Holistically raising awareness on CEPA principles among national experts concerned about the SDGs' domestication and implementation is necessary. Out of the twenty-six experts and key informants who responded to the questionnaire, five were unable to venture an opinion on awareness of CEPA principles; this begs how non-expert practitioners in public administration cope with the familiarity with will and demands of UN-CEPA principles.

- African countries have different pressures and triggers to adopt, implement and nurture some CEPA principles based on their domestic specificities. Social and political repressions, lack of inclusiveness, and empowering women besides other structural weaknesses and constitutional reforms require African countries to develop strategies pertinent to CEPA principles.

- The pandemic offers an excellent opportunity for African countries to reprioritise CEPA principles and strategies according to urgent national needs and specificities. The respondents from the captioned 13 African countries identified some CEPA strategies to be improved in response to COVID-19, mainly those pertinent to effectiveness, sound policymaking, collaboration, and dialogue across the levels of government and integrity principles. On another note, other strategies could be threatened under the current COVID-19 pandemic, including long-term debts management, competitive public procurement, fiscal federalism conflict of interests' policies and efficient and fair revenue administration.

African countries' experiences in putting CEPA principles into practice

Botswana: The country has been keeping a good record on institutional reforms and development planning since independence. The Sound Policy-Making principle has been a lodestar for Botswana. The Government held vital national development planning from 1996 till the adoption of a new Vision 2036. From this perspective, Botswana embraced the UN-CEPA principles almost fifteen years before they were pronounced. Botswana worked on their public administration's competence through the Human Resources (HR) Development Council as a deliberate strategy for training senior civil servants. While Botswana sustained a remarkable trajectory of five decades, Botswana has been found wanting on Budget Transparency. According to the Budget Transparency Index (BTI), its score has dropped from 51 in 2010 to 47 in 2015. Furthermore, Botswana struggles with food insecurity with 22% as the average but shows rural-urban disparities that leave the rural areas behind by more than 11 % of the national average.

Egypt: The Government of Egypt has been adopting various administrative and economic reforms since 2011. The revolution of January 2011 remains the primary trigger of these reforms. Egypt has made progress in some of CEPA principles and strategies, including effectiveness and competence principles, promotion of a professional public sector workforce, developing a promising 2030 vision for development planning, alongside collaboration among government bodies. In partnership with other stakeholders, the Egyptian government has nurtured efforts pertinent to integrity and transparency, including strengthening anti-corruption policy, adopting a new code of conduct, and revising Civil service law. Yet, the Government is encouraged to address strategies of the principle of Subsidiarity. It shall also enact new regulations which influence the Sound Policy-Making principle.

Ghana: There is reasonable progress towards effectiveness, accountability, and inclusiveness principles at the national level. These principles are embraced by the government strategies, particularly the decentralised planning systems, and under the 1994 Act of National Planning Systems, Ghana drives a linked coordinated network and system. Ghana should also be commended for applying various integrity and transparency strategies as it is one of the few African countries that offer a robust anti-corruption coalition at a broader scope. However, it is noted that although Ghana made significant progress during the Millennium Development Goals (MDGs) period, this was undermined by intra-sectoral coordination defects. In addition to this, data deficiencies hampered the ability to appreciate the extent of looming challenges in time.

Kenya: Political leadership and ownership in Kenya galvanise the adoption and implementation of most of CEPA Principles. Kenya undertook a self-assessment on how far they fare on implementing the CEPA principles in December 2020. Since the promulgation of the 2010 Constitution, Kenya has focused on the notion of a capable state. The necessary legislative instruments have been enacted, particularly those that affect the subsidiarity principle and transparency and anti-corruption efforts led by President Uhuru Kenyatta. Inclusiveness and a decentralised governance approach are also visible as the Counties have been assigned fourteen key responsibilities and mandates. However, there is a persistent observation which is the lack of financial resources allocated for counties. Furthermore, the assessment found the UN-CEPA framework invaluable as it also revealed the uneven capacity that persists in the public service.

South Africa: The country was given more focus on COVID-19 impact on applying CEPA principles. South Africa's response to COVID-19 was hailed to be relatively comprehensive and inclusive. The national strategy aimed at saving lives and livelihoods through various restrictive and protective measures. South Africa's Constitution is well aligned with the UN-CEPA principles. In the planning of interventions, there is a greater alignment to the UN-CEPA principles. As the pandemic hit the country, a commendable sense of collaboration among government bodies and at government levels was visibly recognised. South Africa set up a Command Structure led by the President himself and ministers to provide regular updates to the nation on the government measures to respond to the pandemic. The policy frame aimed at leaving no one behind. Temporary COVID relief packages, including cash transfer to the unemployed and those not qualifying for any social grants being made available. Furthermore, health measures were also implemented by way of tracking and tracing with 28000 Community Health Workers' assistance. Thus, the principle of Inclusiveness drove the agenda.

The major problem has emanated from the accountability framework. Several unscrupulous business people looted the funds directed to the pandemic. The business loan scheme of Rand 200 billion has only disbursed Rand 17 billion, and the President lamented this underwhelming extension of credit by the banks.

Sudan: Sudan's current political transition offers an excellent opportunity to build up CEPA principles at national development planning and among national executives. The country has a long way to go to strengthen the knowledge, implementation, and application of the referred principles. Among the most stressing demands among executives are providing tailor-made capacity building training on good governance practices, of which some are CEPA principles, i.e., integrity, transparency, Inclusiveness (gender-sensitive budgeting), Strengthening the National Statistics System, revision of the civil service laws, and practices, establishing a national anti-corruption strategy and authority and investment in information technology and digitalisation.

Key Recommendations:

The significance of CEPA principles is unquestionable within the current political and severe economic challenges countries face beyond the COVID-19 pandemic. The APRM should incorporate the principles into governance assessment reviews conducted on African states. In the light of the above evidence, it is recommended to consider the following:

- Whatever the national triggers were to apply CEPA principles, the principles are vital for translating policies and legislative frameworks into practical implementation tools. The CEPA principles have furthermore been shown to be amenable and valuable for deployment in periods of pandemics. Country case studies have elevated this evidence. With better awareness, knowledge, and understanding of these principles at all levels, it is possible to deploy them effectively in times of pandemics.

- CEPA principles need to be systematically introduced/integrated into the planning systems of governments. Accordingly, the APRM is encouraged to develop a manual, and a set of guidelines on CEPA Principles and strategies should be designed to raise awareness and understanding of the principles alongside executive training for African national executives. This shall be aligned with APRM activities on strengthening good governance through its national governance structures.

- Given African countries' specificities and various triggers for adopting CEPA principles and strategies, further detailed country-specific studies should emerge from this APRM baseline study. The country-targeted CEPA assessment should raise awareness of national executives' principles and encourage potential national respondents on the APRM-CEPA questionnaire. A close working relationship between

APRM and country national statistics offices is imperative for the principles to pass essential muster of quality.

- For the proposed manual to be helpful, it is highly recommended that APRM collaborates with the UN DESA-CEPA Secretary, Praia City Group on Governance Statistics, alongside African statistical organs, i.e., AFROSAI-E. This will assist greatly when the principles and their attendant indicators ripen towards recognised indicator set for the SDGs at the United Nations Statistics Commission; and

- A pilot training program on training public administrators on these principles should be initiated without delay. The pilot training can benefit from UN DESA guiding notes on the principles. The APRM will partner with the African Association for Public Administration and Management (APAAM) and other regional centres like the Sustainable Development Goal Center for Africa (SDGC/A) concerned about CEPA principles in Africa to develop such programs.

- Synergies with other AU organs, including the AU Commission – mainly African Governance Architecture - and Regional Economic Communities (RECs) and the member states, are encouraged to cascade the CEPA principles at national levels.

- The engagement of development and strategic partners of the AU, including the United Nations, GIZ, SIDA, European Union and other stakeholders, is imperative to provide financial and technical support to AU member states to put CEPA principles into practice.

Chapter 01

Why This Study On CEPA Principles?

Why this Study on CEPA Principles?

1.1 Introduction

The Study on the CEPA principles of effective governance for sustainable development was based on the Africa Regional Workshop's recommendations on Effective Governance for Sustainable Development, held from October 30th to November 1st, 2019, in Pretoria, South Africa. The APRM and the UN DESA resolved to undertake a baseline study on the status of implementation of the eleven (11) UN-CEPA principles of effective governance for sustainable development. The UN-CEPA principles were developed to encourage interested countries to voluntarily adopt these principles for the effective implementation of the SDGs in harmony with the aspirations of Agenda 2063 "*The Africa we Want*".

The APRM-CEPA workshop of November 2019, organised by the APRM and UN DESA, aimed to raise awareness among officials from African bureaucracies and AU organs of these ECOSOC-endorsed UN- CEPA principles of effective governance for sustainable development. The principles are clustered around effectiveness, accountability, and inclusiveness, which, at their core, relate to peace, justice, and strong institutions (SDG 16). Furthermore, the principles aim to support countries in assessing gaps for action towards institutional strengthening to support the implementation of SDGs. The decision to undertake the baseline study is likewise informed by the outcomes of the 18th Session of CEPA, which took place from April 8th to 12th, 2019. The 18th Session focused on the preparations for the 2019 HLPF at the Ministerial and Summit levels, including a review of the implementation of the institutional aspects of SDG 16. It is within the SDG 16 framework that the UN-CEPA principles of effectiveness, accountability, and transparency are encapsulated.

The baseline study was undertaken under the auspices of the AGA and in partnership with the SDGs Centre for Africa (SDGC/A) based in Kigali, Rwanda. The study sought to develop a framework for assessing the implementation of the eleven (11) UN-CEPA principles and 62 commonly developed strategies to assess the said principles. A part of the planned outcomes of the study focused on the development of guidelines, indicators, and strategic partnerships. The Study also mapped out the status of implementing the 11 principles in fifteen (15) countries across all five (5) sub-regions of the African Union. The baseline study further identified gaps and examined the challenges faced by countries in the implementation of the principles. The baseline study commenced in 2020.

The Study has particular significance for Africa as it primarily focuses on the state of preparedness of African governments in the face of the COVID-19 pandemic and the ability of public institutions to adopt a "**whole-of-society"** approach in curbing the pandemic. The COVID-19 pandemic has provided an opportunity for countries to realise which of the CEPA principles have been weakened or strengthened by the crisis and the governments' responsiveness. Accordingly, the baseline study provides recommendations to AU Member- States on best practices concerning inclusive and accountable public institutions for sound policymaking in response to crises and human disasters.

Acknowledging this, the APRM baseline study presents an account of the status of implementation of the 11 UN-CEPA principles in selected African countries based on an agreed framework of guidelines and indicators inspired by the global indicators on SDG 16 – Peace, Justice and Strong Institutions. SDG 16 is aligned with Aspiration 3 - an Africa of good governance, democracy and respect for human rights, and Aspiration 4 - a Peaceful Africa - of Agenda 2063. For a more participatory process, both the baseline study methodology and the findings of the Study are scheduled to be reviewed and validated by the AGA and the APRM Agenda 2063 Taskforce after careful consideration of the inputs of national governments. The final baseline study report is expected to be presented to the AU Assembly of Heads of State and Government in February 2022.

Background

The UN-CEPA was established by the ECOSOC through Resolution 2001/45 and is responsible for supporting the work of the ECOSOC concerning the promotion and development of public administration and governance among Member-States, with particular reference to the 2030 Agenda for Sustainable Development. Further, it supports the review of progress of the SDGs towards their fulfilment.

Institutions are paramount for the achievement of all SDGs and targets, as well as Agenda 2063 and its flagship continental programmes. Public sector reforms needed to achieve the SDGs remain a challenge in many countries. The ECOSOC endorsed the principles of Effective Governance for Sustainable Development based on the advice of UN-CEPA, composed of independent global experts. Developed by the UN to help interested countries on a voluntary basis, the CEPA principles aim to build effective, accountable and inclusive institutions at all levels. These principles apply to all public institutions, including executive and legislative organs, public entities in the security and justice sectors, independent constitutional bodies and state corporations, among others.

The first three principles focus on **effectiveness**. They are competence, sound policymaking, and collaboration. Three more principles address **accountability:** integrity, transparency and independent oversight. Five principles focus on **inclusiveness:** leaving no one behind, non-discrimination, participation, subsidiarity, and integrational equity. These principles are associated with the 62 commonly used strategies for their operationalisation, many of which have been recognised and endorsed over the years in various UN fora, resolutions, and treaties. Applying the principles and associated strategies to all public institutions can accelerate efforts to introduce pragmatic improvements in national and local governance capabilities to achieve the 2030 Agenda and other international agreements, including Agenda 2063: The Africa we Want.

The Committee also stressed that building institutions should not be seen as a technocratic efficiency exercise, which risks reinforcing the status quo. The exercise should be viewed in the spirit of the 2030 Agenda and as an integral part of efforts to leave no one behind, reduce inequalities, tackle environmental degradation, promote well-being for all and address other national and subnational sustainable development priorities. Member States are committed to raising the level of ambition of national efforts towards the implementation of the Agenda in this respect, inter alia by strengthening institutions for more integrated solutions and to better equip institutions to bring about transformative change in governance and public policy.

The APRM, an autonomous entity of the AU established in 2003 as a voluntary mechanism for self and peer assessment of the governance policies and practices of participating African states, currently has 41 Member States. These members have voluntarily acceded to the Mechanism. A core responsibility of the APRM is supporting AU Member-States in addressing governance deficits. The APRM is also charged with assessing governance trends in the areas of political, economic, socio-economic and corporate governance in Africa. Further, the APRM also has strategic responsibilities to support AU Member-States in monitoring and reporting on the implementation of SDGs and Agenda 2063, including the preparations of UN Voluntary National Reviews (VNRs) towards accelerating implementation of the 2030 Agenda. The APRM collaborates with Member-States in adopting the Agenda 2063 Reporting Framework developed by the AU Commission and sister organs. The APRM also has the mandate to promote and facilitate self-monitoring and sharing of best practices pertinent to good governance in participating states, and to ensure that their policies and practices conform to the agreed codes and standards. These codes and standards are enshrined in the ACDEG as well as other relevant treaties, conventions and instruments adopted by participating states, whether through the AU or other international platforms.[1]

1 https://www.aprm-au.org/

1.2 Rationale and Main Objectives

This sub section explicates on the rationale, the objectives, the outcomes, a roadmap and partnerships for the Study.

1.1.1 Rationale

The operationalisation of the CEPA principles at national levels calls for concrete and accelerated action taken by national governments. Implementation of the CEPA principles and mandates of the AU, including accession to the APRM, can support AU Member-States in developing necessary guidelines for institutionalised pathways to sustainable development.

To facilitate public sector reforms towards efficient, effective, accountable and transparent institutions reporting in the context of the UN 2030 Agenda and AU Agenda 2063, governments periodically take stock of the implementation of the UN-CEPA principles. As reiterated in the 18th Session of the CEPA, "*building equal and inclusive societies and leaving no one behind require addressing the deep inequalities that exist in many countries. This, in turn, may require institutions at all levels to play a greater role in promoting and enforcing non-discriminatory laws and policies".*[2] This includes peaceful and inclusive societies and effective and accountable institutions of justice, enhancing the capacity of the public sector in core functional areas of administration and strengthening fiscal management at the national and sub-national levels, among other things.

This Study rationality also derives from the recommendations of the Africa Regional Workshop on Effective Governance for Sustainable Development, which was held from October 30th to November 1st, 2019 in Pretoria. These recommendations are as follows:

a) Countries are continuing efforts towards integrating auditing of SDGs into national audit plans. Empowering state audit institutions can increase the audit performance of African institutions regarding the implementation of the SDGs and Agenda 2063 aspirations.

b) Building effective and collaborative public institutional frameworks is significant for coherent policymaking and effective stakeholder engagement to build networks that can serve as platforms for dialogue and the harmonisation of data in Africa.

c) Increasing implementation of the '***whole-of-society***' approach to facilitate inclusive financing and innovation in African countries. The Study considered countries that are recipients of high volumes of ODA, in order to develop a national development reporting framework on finance.

d) Ensuring integrated approaches to the implementation of SDGs.

1.1.2 Objectives

It was envisaged that the findings of the Study in the context of the 2030 Agenda for Sustainable Development and AU Agenda 2063, provides the following:

a) A comprehensive and actionable account of the state of play of SDGs/Agenda 2063 in Africa, also providing a reflection on the potential impact of COVID-19. particularly in the 17 selected AU Member-States, and relevance to national governance frameworks.

2 18th Session of the United Nations Committee of Experts on Public Administration.

b) A framework of indicators and quantifiable variables to measure the implementation of the CEPA principles for effective governance of SDGs and Agenda 2063 in Africa, particularly SDG 16.

c) Best practices as well as challenges for building effective, accountable, and inclusive institutions at all levels and accelerating action towards the First Ten Year Implementation Plan (FTYIP of Agenda 2063 (2013 – 2023) as a basis for the preparation of reporting on the FTYIP by 2023.

d) Assessment of African governments' responses to COVID-19 within the scope of the CEPA principles.

1.3 Methodology and geographical scope

Initially, the study targeted 17 African countries in five (5) regions which are actively engaged in the APRM review process and activities. The countries included Ethiopia, Uganda, Kenya, and Rwanda (East Africa), Chad and Cameroon (Central Africa), Egypt, Tunisia, and Sudan (North Africa), Botswana, South Africa, Mauritius and Lesotho (Southern Africa), Cote d'Ivoire, Senegal, Ghana, and Nigeria (West Africa). However, only thirteen countries (13) responded to the APRM Tool on CEPA principles as displayed in Table 1.

1.1.3 Methodology and data collection

Research design and data sources

The baseline study utilised a mixed method approach involving both quantitative and qualitative approaches to data collection, conducted in a participatory and consultative manner. Survey tools were developed for both the quantitative and qualitative data. The quantitative survey involved the administering of questionnaires in selected countries which are actively engaged in the APRM review process based on the 11 UN-CEPA principles and practices. The administered questionnaires also included aspects of the APRM governance indicators that are useful in monitoring and evaluating AU Agenda 2063 Aspirations 3 and 4 which are aligned with SDG 16 as mentioned above.

Additionally, primary data was solicited through in-depth interviews with government officials and relevant stakeholders from civil society and the private sector. Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs) were centred on: a) in-depth engagement with the UN CEPA Principles; b) discussions with stakeholders from the AU, UN and governmental entities regarding enhanced implementation of the two Agendas; c) taking stock of African countries' progress. The in-depth interviews were conducted to ensure the Study's credibility, replicability, and linkages to practical experiences. Primary data was corroborated by secondary data from desk reviews from both national and international sources for the indicators on SDG 16 and Agenda 2063 Aspirations 3 and 4, as well as the associated policy reforms for the attainment of the SDG 2030 Agenda. The Study further utilised SDG Reports and VNRs from selected countries.

Quantitative data

The APRM developed a designated questionnaire to assess the level of awareness, understanding, and knowledge of the CEPA principles. The APRM tool also helped to reflect on the best practices and implementation of the CEPA principles at national levels. The questionnaire was designed and exploited by the APRM Continental Secretariat. Data was captured electronically, using tablets, and stored onto a cloud server by interviewers. The electronic questionnaires contained built-in validation checks to ensure the data captured was free of errors. The data was uploaded on servers daily and the data analyst carried out further validation checks. Upon completion of country field data collection, data was transferred to statistical software (SPSS) for analysis. The baseline study employed both descriptive and inferential techniques of analysis at regional and country levels. All key estimates were disaggregated by gender, socio-economic status, disability, and rural and urban areas to check if there were any significant differences in these categorisations.

Qualitative data

The Study was guided by a literature review on governance and SDGs progress achieved by the 17 selected African countries including AU communiques, national development reports, Agenda 2063 progress reports and VNRs. Also, other qualitative methods were employed, including Focus Group Discussions (FGDs) to identify the significant issues for each study theme and sub-theme. Stakeholders' responses were coded and typed in Microsoft Word. The advice was offered on the trend analysis of the KIIs.

1.1.4 Country selection and criteria

A total of thirteen (13) countries were carefully selected based on some criteria that included: regional balance amongst AU member states; active engagement in the APRM review process; progress on reporting on the implementation of the 2030 Agenda and Agenda 2063 and participation in the CEPA activities (Table 1).

Table 1: Summary of the features of the thirteen (13) proposed countries per region for the APRM - UN CEPA Baseline Study

Item	Country	Progress on SDG 2030/Agenda 2063 reporting
East Africa		
1.	Republic of Kenya	a) VNR Submitted twice (2018 and 2020) b) In the Republic of Kenya, the CEPA principles are followed at the national and county level, where specific functions are performed at those specific levels. In this regard, policies are formulated and translated into short, medium, and long-term plans. For example, the five (5) year development plan based on Kenya's Vision 2030. In this case, all stakeholders must participate before the medium-term plan is accepted, by law. The first and second-generation reviews conducted by the APRM in Kenya provided solutions to some challenges and reflect a level of independence from the government. These reviews indicated the state of governance in Kenya, including reviews at the sub-national level with recommendations to be implemented within five (5) years.
2.	Republic of Rwanda	a) VNR submitted in 2019 b) APRM established a partnership with the SDGC/A in Kigali to promote VNRs follow up at the regional level
3.	Republic of Uganda	c) The first VNR was submitted in 2019, and the second is scheduled for the HLPF in July 2021 d) APRM Country Review conducted twice e) The Republic of Uganda provides an excellent example from the Continent in reporting on SDGs, especially SDG 16. f) The Republic of Uganda is currently mainstreaming SDGs utilising existing instruments related to their NDPs towards implementing and achieving SDGs. Uganda is to undergo a VNR for the second time in 2020, taking the CEPA principles into consideration
North Africa		
4.	Arab Republic of Egypt	a) VNR submitted twice and the third one scheduled for 2021 b) APRM Country Review has been completed c) The Arab Republic of Egypt, as part of its statistical institution, has established a national high-level coordinating body tailored explicitly towards achieving the SDGs and Agenda 2063 Aspirations. In this case, the prioritisation of government interventions is based on data.
5.	Republic of Tunisia	a) The first VNR was submitted in 2019, and the second is expected to be submitted in 2021 b) The country reported twice on the SASHA tool for peace, governance, and development
6.	Republic of Sudan	g) VNR submitted in 2018 h) APRM governance gap analysis report was produced in December 2020 i) Special attention is given to Sudan after the regime change in 2019

Southern Africa		
7.	Republic of Botswana	a) VNR submitted b) Acceded to the APRM in 2019 c) Solid progress on good governance during the last three decades
8.	Kingdom of Lesotho	a) VNR submitted b) APRM Country Review has been completed
9.	Republic of Mauritius	a) VNR submitted b) APRM Country Review has been completed c) Actively engaged in APRM networks i.e., corporate governance and SDGs regional workshops
10.	Republic of South Africa	a) VNR submitted in 2019 and second slated for 2021 b) APRM Country Review has been completed c) 2nd generation Country Review will be conducted in 2021 d) Resilient model of mitigating shocks i.e., COVID-19 e) South Africa is developing a district-based model that brings local governments together to ensure public and private sector development towards a cohesive approach at the district level. The main challenge of this model has been to create robust institutions that can connect.
West Africa		
11.	Republic of Ghana	a) VNR submitted b) The Republic of Ghana has mobilised civil society around SDG 16, through the Ghana Civil Society Platform that comprises hundreds of civil society organisations. c) Collaboration has taken place between all actors who are participating in the implementation of SDGs. The people of Ghana, together with the Civil Society have co-published a Shadow Report on the VNRs titled: 'Progress on SDGs, Telling the Ghanaian Story through the Lens of Citizens', a useful tool that may be replicated elsewhere.
12.	Republic of Senegal	a) VNR submitted in 2019 a) APRM Country Review has been completed b) Senegal incorporated APRM National Plan of Action into its National Development Plan
13.	Federal Republic of Nigeria	b) VNR submitted in 2020 and current national planning alignment with SDGs indicators is promoted at the national level c) Actively engaged in the APRM process

1.4 Expected Outcomes

a) Framework for assessing the implementation of the eleven (11) UN-CEPA principles of effective governance for sustainable development in Africa.

b) Technical report of the baseline study to develop a framework for evaluating the implementation of the eleven (11) UN-CEPA principles.

c) At least 4 policy briefs generated on UN-CEPA principles of effectiveness, inclusiveness and accountability, as well as APRM governance.

1.5 Partnership and Collaboration

The implementation of the baseline study included technical, collaborative and strategic partners. Collaborative partners facilitated national and regional consultations. Technical partners also provided support and resources to various stakeholders. Further, strategic partners provided expert advice and guidance regarding the development of the framework and report. The partners included:

a) Sustainable Development Goal Center for Africa (SDGC/A): It was the APRM's strategic partner in carrying out the Study. Besides its engagement in developing the study tool and drafting the report with the APRM Continental Secretariat, the Centre was engaged in collecting responses on the APRM questionnaire from different countries, as well as validating the Study in collaboration with AGA and other members of the APRM Agenda 2063 Taskforce.

Other organs that were consulted for data collection include:

b) Afro Barometer

c) African Development Bank (AfDB)

d) AFROSAI-E

e) Praia City Group

f) Mo Ibrahim Foundation

g) OECD

h) National Research and Statistical Institutions

i) UN DESA

1.6 Structure of the Report

Chapter One: Introduction; purpose of the CEPA baseline study, methodology and methods, outcomes.

Chapter Two: Progress of SDGs and Agenda 2063 in Africa

a) State of implementation of SDGs in Africa /Agenda 2063

b) State of play of SDG 16 in Africa and its attendant bottlenecks

c) Public governance for the acceleration of the development agenda and relevance of APRM's mandate to the promotion of good governance in Africa.

Chapter Three: Understanding the CEPA Principles

a) Understanding CEPA principles and defined strategies

b) Question of measurability

Chapter Four: Awareness, knowledge, understanding and implementation of the CEPA principles in Africa

a) APRM's questionnaire

b) Analysis of findings on APRM-CEPA questionnaire and Key recommendations

Chapter Five: African countries' experiences with the CEPA principles

Annexes

Chapter 2

Progress of SDGs and Agenda 2063 In Africa

TRANSFORMING OUR WORLD: THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT
1 NO POVERTY
2 ZERO HUNGER
3 GOOD HEALTH AND WELL-BEING
4 QUALITY EDUCATION
5 GENDER EQUALITY
6 CLEAN WATER AND SANITATION
7 AFFORDABLE AND CLEAN ENERGY
8 DECENT WORK AND ECONOMIC GROWTH
9 INDUSTRY, INNOVATION AND INFRASTRUCTURE
10 REDUCED INEQUALITIES
11 SUSTAINABLE CITIES AND COMMUNITIES
12 RESPONSIBLE CONSUMPTION AND PRODUCTION
13 CLIMATE ACTION
14 LIFE BELOW WATER
15 LIFE ON LAND
16 PEACE, JUSTICE AND STRONG INSTITUTIONS
17 PARTNERSHIPS FOR THE GOALS

Progress of SDGs and Agenda 2063 in Africa[3]

This chapter provides a broad overview of alignment and interlinkages between the two development agendas, critical trends and progress towards the attainment of SDGs in Africa, drawing from existing reports and publications especially the SDGs Index and Dashboards in Africa. The chapter also highlights gaps and emerging issues, challenges, and opportunities, and best practices primarily during COVID-19 when African nations are experiencing unprecedented social and economic impacts on the SDGs.

2.1 Themes of focus

2.1.1 Alignment between the 2030 Agenda and Agenda 2063 Aspirations

Agenda 2030 takes a holistic and balanced view of development by addressing the three pillars of sustainable development, including economic, social and environment, significantly raising the level of ambition to achieve the goals and address key systemic barriers to sustainable development[4]. The SDGs framed under the 5Ps – People, Prosperity, Planet, Peace and Partnership together with the 17 goals and 169 targets demonstrate the scale and ambition of the 2030 Agenda[5]. The relevance of each goal, targets and indicators, however, varies by country and region, depending on their priority areas of focus and current development needs. On the other hand, the African Union's Agenda 2063 provides the regional context for the SDGs. Since 2015, the adoption of the 2030 Agenda and Agenda 2063 among African countries has been supported by partners including the SDGCA and the APRM. To the extent possible, the partners have been involved in the process of supporting the implementation and tracking of national development planning frameworks that are aligned with both development agendas. The alignment between the 2030 Agenda and Agenda 2063 has been significantly reinforced by the full integration of the common African position into both Agendas[6]. The alignment thus provides consensus on common challenges, priorities and aspirations, and to enable the African community to collectively and more effectively contribute to the post-2015 agenda. Evidence available from the mapping exercise showed a high level of convergence between goals and targets of Agenda 2063 and Agenda 2030[7]. The benchmark employed to measure the alignment between two agendas is the extent of convergence in terms of specific development priorities in the context of Africa.

2.1.2 Interlinkages between SDGs and AU Agenda 2063

The interlinkages between Agenda 2063 and Agenda 2030 are below 100 percent, 86 percent to be precise (Figure 1). While Agenda 2030 is a global response to the world's development challenges, the top three (3) goals including Goals 9, 12 and 8 are relevant to African responses to developmental needs.

3 Authors of the chapter; SDGs Centre for Africa- Kigali, Rwanda
4 UNECA (2018). Integrating and tracking performance on the 2030 Agenda for Sustainable Development and Agenda 2063: From Theory to Practice. Economic Commission for Africa, Addis Ababa, Ethiopia.
5 UNDP (2017). Strengthening Strategic Alignment for Africa's Development: Lessons from the UN 2030 Agenda for Sustainable Development, the African Union's Agenda 2063, and the AfDB's High Fives. UNDP Policy brief, Vol.1 (1).
6 https://www.tralac.org/news/article/9340-status-of-african-integration-the-implications-of-agenda-2063-and-agenda-2030-on-african-integration.html
7 SDGCA & SDSN (2018). Africa SDG Index and Dashboards Report 2018. Kigali and New York: SDG Center for Africa and Sustainable Development Solutions Network.

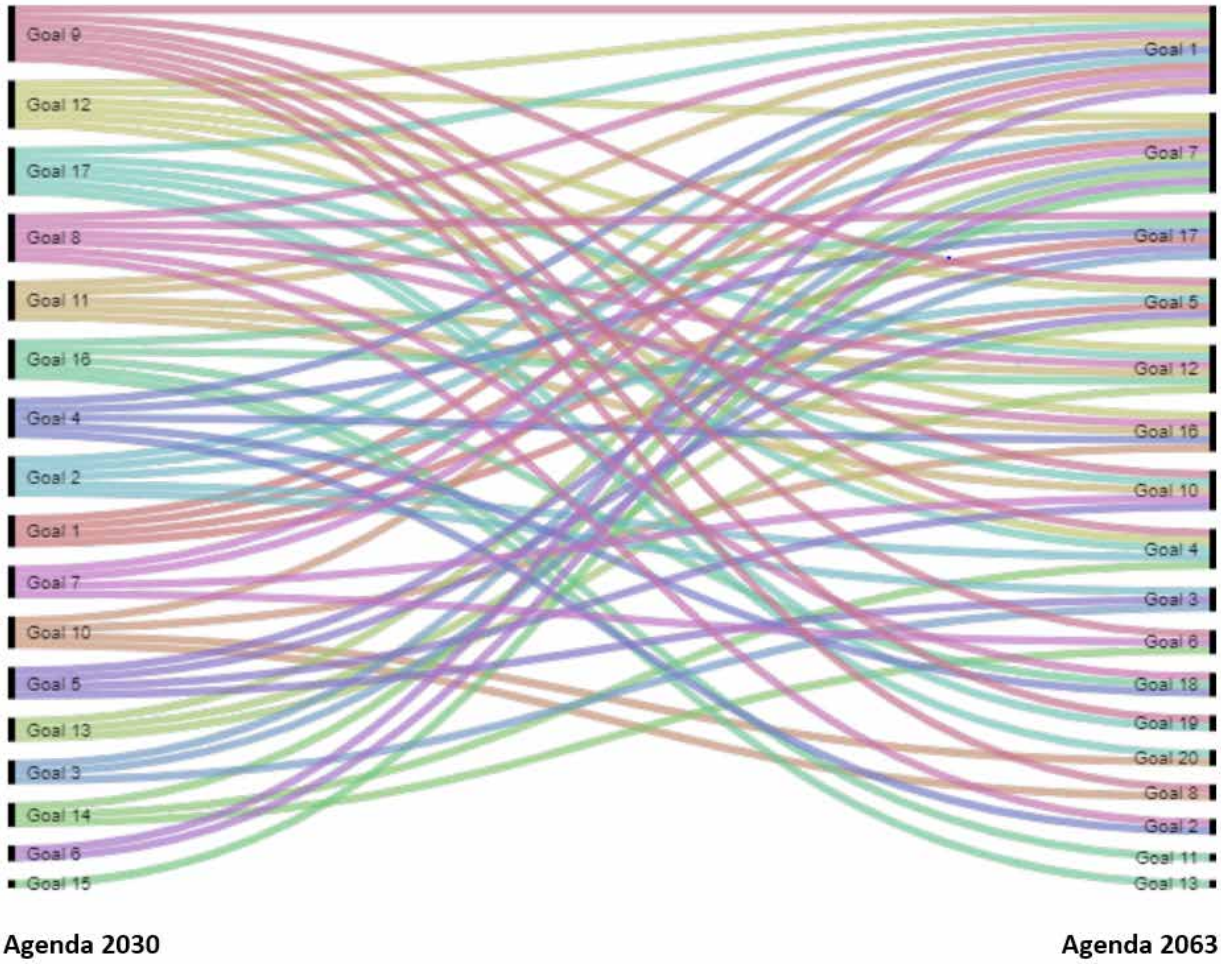


Figure 1: Extent of convergence between Agenda 2030 and Africa's Agenda 2063

As shown in Figure 1, there is an overall strong linkage between Agendas 2030 and 2063. At the goal level, the alignment between global and continental agendas is estimated at 85 percent with 17 of the 20 Agenda 2063 goals overlapping with the SDGs. The remaining three goals in the Agenda 2063 that do not fully overlap with any of the SDGs include: Goal 9, key continental financial and monetary Institutions established and functional; Goal 14, a stable and peaceful Africa; and Goal 15, a fully functional and operational African peace and security architecture. It is observed that at least 15 Agenda 2063 goals overlap with at least two SDGs, suggesting a deeper and stronger synergy between the two development agendas. At target level, out of 174 Agenda 2063 targets, only 36 do not overlap with any Agenda 2030 targets (21%), 66 overlap with one SDG target (38%) and the remaining 72 overlap with at least two or more SDG targets (41%). In terms of the specific targets, there is 100% convergence with SDGs 1, 3, 5, 7 and 12 (Figure 1). Growing evidence suggests that alignment of the two development agendas at target level stands at 79% while at the indicator level, 44 Agenda 2063 indicators (70%) fully converge with SDG indicators[8]. Furthermore, only seven (7) Agenda 2063 (11%) indicators have no match for SDG indicators, while 12 indicators (19%) are Africa-specific.

Overall, the interlinkages are less than 100% convergent, suggesting that the two development Agendas are not binding, which is of relevance regarding the integration and coherent implementation and assessment of both Agendas, ensuring that Africa's economic interests and priorities are not left behind in the implementation. Whereas Agenda 2030 is a subset of Agenda 2063, the agenda does not take into consideration Africa's specific priorities and interests. Therefore, in order to ensure a high level of convergence between the two Agendas, there is strong and urgent need for strengthening the interlinkages between the two Agendas to minimise the burden of implementing the two Agendas whilst also eliminating competition for resources among African nations.

8 Gupta (2014). Sharing Our Earth. Inaugural Address as Professor of Environment and Development in the Global South, University of Amsterdam, 5 June 2014.

2.1.3 Critical trends in SDGs Performance in Africa

This year marks the start of the decade of action to accelerate the implementation of SDGs. This also came against a backdrop that the globe was largely off track to meet the 2030 targets[9]. However, the goals and targets are attainable, with a funding gap for low-income countries estimated at only 0.4% of the world economy[10], also corroborated in an IMF Fiscal-Policy-and-Development-Human-Social-and-Physical-Investments-for-the-SDGs Report[11]. Evidence shows that Africa is also off track, and trailing other regions across the different dimensions of SDGs (growth, social inclusion and environment sustainability). Performance, where data exists, is varied across regions, with North Africa fairly on track on some goals while Central Africa, on the other hand, is off-track on almost all goals. This also underlines, that the "*Leave no one behind*" goal remains in jeopardy and is likely further jeopardised by the lack of demographic transition. Africa remains the only Continent yet to successfully reduce fertility rates, and by extension achieve its demographic transition[12].

Africa's starting point at the adoption of SDGs in 2015 was unpropitious, and the holistic evaluation of progress since, is in part constrained by lack of sufficient data. In a recent analysis by the SDGCA[13], it was revealed that only 40% of the SDG indicators have indicator data and are in some instances also outdated. The existing national household surveys are not fully comparable, and the majority of statistical offices lack operational and institutional independence. However, where data exists, the overall progress remains off-track. The emergence of Coronavirus (COVID-19) and the associated economic downturn present unprecedented risks to all SDGs. Funding is increasingly becoming scarce, public and private sector service delivery distorted and mobility of factors of production and goods and services is disrupted by all forms of restrictions that have been imposed by different countries on the Continent[14]. Generally, this section provides the overall performance of SDGs in Africa, determining the causes, constraints/gaps, divergences, and pathways for accelerating the SDGs over the remaining period.

In the global SDG Index 2020[15], Africa continues to make marginal progress on SDGs with the score increasing by one point annually. However, no African country is in the top 55 countries. The best ranked, Algeria, only ranks 56th with a score of 72.3, meaning that the country's score represents 72.3% of the best possible outcome across the 17 SDGs, the best possible outcome being 100%. Sub-Saharan Africa's average score is lower at 53.1 and the region is not making progress towards Agenda 2030 targets associated with Goals (1-7), 11, 16 and 17. Performance gaps remain wide-ranging, especially on poverty and education.

Similarly, the 2019 Africa SDG Index average score for 52 African countries based on 97 Indicators across all 17 Goals, was 52.3, just about halfway to achieve the SDGs. North African countries dominate the top 5. However, they also face challenges across different goals as shown in Figure 2. In terms of trends towards SDG 2030, all African countries have varied performances. Only on SDG 13, on Climate Action, are 39 African countries on track. In 11 of the goals, 25 or more African countries exhibit stagnating trends, with Goals 4, 6, 11, and 16 showing the most stagnation (over 30 countries). Data gaps are more pronounced on Goals 8, 11 and 16.

9 Sachs, J., Schmidt-Traub, G., Kroll, C., Lafortune, G., Fuller, G. (2019): Sustainable Development Report 2019. New York: Bertelsmann Stiftung and Sustainable Development Solutions Network (SDSN) https://s3.amazonaws.com/sustainabledevelopment.report/2019/2019_sustainable_development_report.pdf
10 https://resources.unsdsn.org/sdg-costing-financing-for-low-income-developing-countries
11 https://www.imf.org/en/Publications/Staff-Discussion-Notes/Issues/2019/01/18/Fiscal-Policy-and-Development-Human-Social-and-Physical-Investments-for-the-SDGs-46444
12 https://sdgcafrica.org/wp-content/uploads/2019/09/SDGCs-Implementationin-Africa-Reflection-on-3Y-Journey_Report.pdf
13 Ibid SDGCA(2019)
14 https://sdgcafrica.org/wp-content/uploads/2020/06/COVID-19-UNPRECEDENTED-RISK-TO-SDGs-IN-AFRICA_Web-Final.pdf
15 https://s3.amazonaws.com/sustainabledevelopment.report/2020/2020_sustainable_development_report.pdf

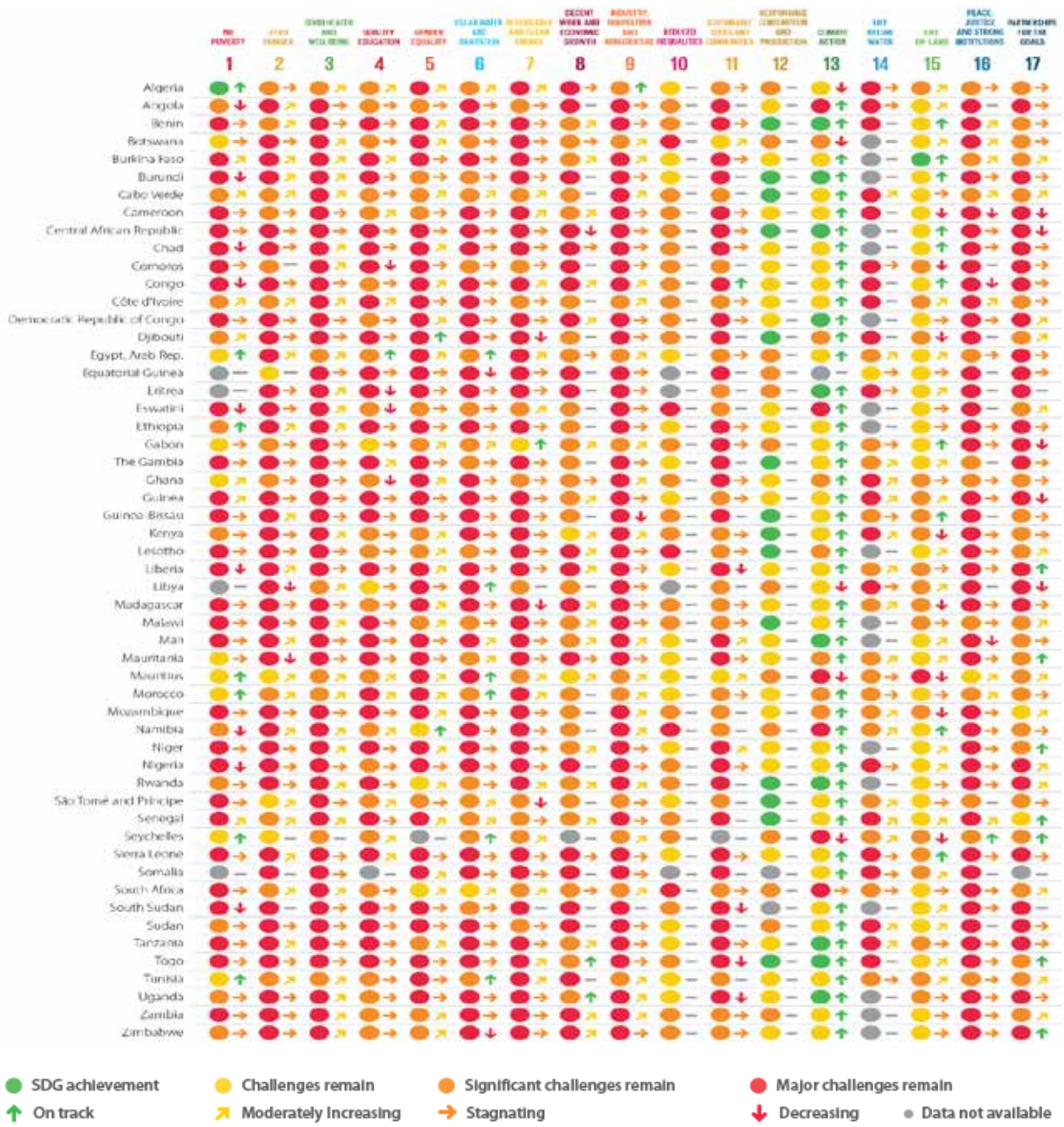


Figure 2: Africa SDG Dashboard and Trends (Source: SDG Centre for Africa and SDSN, 2019).

2.1.4 Goal by Goal Assessment of Progress

Goal 1: End poverty in all its forms everywhere

Poverty data remains scarce and outdated. The latest comparative data across the Continent is as far back as 2015, and approximately 15% of African nations have updated poverty data of 2016 and 2017[16]. However, from the existing data, poverty remains pronounced in Africa – headcount rate is estimated at 40% using US $ 1.9 in 2011 PPP compared to the world poverty rate of 10% (See Table 2). At the Sub-Saharan Africa level, both the poverty gap and squared poverty gap remain high and are more than five times the respective global poverty status, indicating that poverty is deeper and more severe in the region. The poor are living further below the poverty line. Considering the historical path (Millennium Development Goals era), poverty rate in Africa declined.

16 SDGCA (2019). https://sdgcafrica.org/wp-content/uploads/2019/06/AFRICA-2030-SDGs-THREE-YEAR-REALITY-CHECK-REPORT.pdf

However, Africa's number of poor people increased over the same period and continued to increase in SDG period from 428 million in 2015 to 436 million in 2018. That is in part attributed to the population growth rate more than countervailing the progress in poverty reduction. Over 56% of the poor are found in Africa, compared to 30% in 1990. The pre-COVID-19 2030 forecasts indicated that 9 in 10 poor people will be in Africa[17] and the trend is poised to remain the same and way off the 2030 target of alleviating poverty.

Table 2: Poverty rate and Poverty in Millions (Sub-Saharan Africa vs World)

	Headcount (%)	Poverty Gap (%)	Squared Poverty Gap (%)	Poor (mil.)
Sub-Saharan Africa(2018)	40.39	15.25	7.83	435.56
Sub-Saharan Africa(2015)	41.85	15.86	8.16	427.98
World Total (2015)	10.04	3.1	1.48	736.66

Source: World Bank http://iresearch.worldbank.org/PovcalNet/povDuplicateWB.aspx

Multi-dimensional poverty remains concentrated in Africa[18], accounting for over 65% of the global poor. And largely, poverty in Africa is more chronic than transitory. It also disproportionally affects children and women as well and is prevalent in rural areas. The emergence of COVID-19 has increased risks of poverty, with an additional 20 million to 80 million in 2020 falling into it (worst case scenario) at US $ 1.9 PPP terms. This also leads to deviation from 2030 targets, with the poverty rate expected to increase by over 4 percentage points compared to pre-COVID-19 forecasts[19].

Africa still compares unfavourably to the rest of the world on SDG Indicator 1.3.1: Percentage of the total population covered by at least one social protection benefit (effective coverage), 2015. Only 18% receive at least one cash social protection benefit compared to Europe and Central Asia (84%), the Americas (68%) and the Asia-Pacific region (37%)[20].

Goal 2: End hunger, achieve food security and improved nutrition, and promote sustainable agriculture

Before 2020, the world was off-track towards meeting SDG 2, in particular SDG 2.1 Zero Hunger target by 2030[21]. The forecasts indicated Africa was largely off-track towards meeting SDG 2, something that was corroborated by the Africa 2019 SDG Index (refer to Figure xx). In 2019, over 135 million people were acutely food-insecure in 55 countries classified as being in crisis or worse. Of which over 50% (73 million) are found in Africa (36 countries)[22]. Hunger continues to affect Africa, and 34 African countries out of 44 globally are classified as in need of assistance by FAO[23]. One in five Africans are undernourished, compared to 11.3% in Asia, and 10.8% globally. Globally, over 820 million were hungry (severely food insecure) in 2019, of whom over 250 million were found in Africa[24]. At the current pace, over 430 million Africans will be undernourished. The trend of undernourishment has been on the increase over the SDG period and has been exacerbated by the COVID-19 shock and is expected to continue increasing over the remaining period (see Figure 3).

17 Beegle, K., & Christiaensen, L. (2019a). *Accelerating Poverty Reduction in Africa. Washington, Dc: World Bank. https://openknowledge.worldbank.org/handle/10986/32354.*
18 SDGCA(forthcoming). Africa 2030: Inclusiveness -SDGs within Social Boundaries "Fostering the power of the people"
19 SDGCA (2020). COVID19 Unprecedented risks to SDGs. https://sdgcafrica.org/wp-content/uploads/2020/06/COVID-19-UNPRECEDENTED-RISK-TO-SDGs-IN-AFRICA_Web-Final.pdf
20 ILO, World Social Protection Database, based on SSI; ILOSTAT; national sources. See also Annex IV, table B.3. http://www.social-protection.org/gimi/gess/RessourceDownload.action?ressource.ressourceId=54618
21 FAO, IFAD, UNICEF, WFP and WHO. 2020. *The State of Food Security and Nutrition in the World 2020. Transforming food systems for affordable healthy diets*. Rome, FAO.
22 FAO, IFAD, UNICEF, WFP and WHO. 2019. *The State of Food Security and Nutrition in the World 2019.Safeguarding against economic slowdowns and downturns*. Rome, FAO.
23 http://www.fao.org/giews/country-analysis/external-assistance/en/
24 Ibid FAO

Coupled with adverse climatic conditions and desert locusts in some of the East African nations, the number of acute food insecure people is expected to double in 2020. The number of food insecure people is more than double the severely food insecure. Recent FAO, IFAD, UNICEF, WFP and WHO 2020 statistics indicate the number of undernourished in Africa will increase from 83 million to 132 million in 2020 depending on the growth downturn or upturn. This, in part, is attributed to the fact that Africa remains a net food importer, and travel and supply restrictions are expected to limit access to food as is the ensuing loss of jobs associated with the large economic downturn.

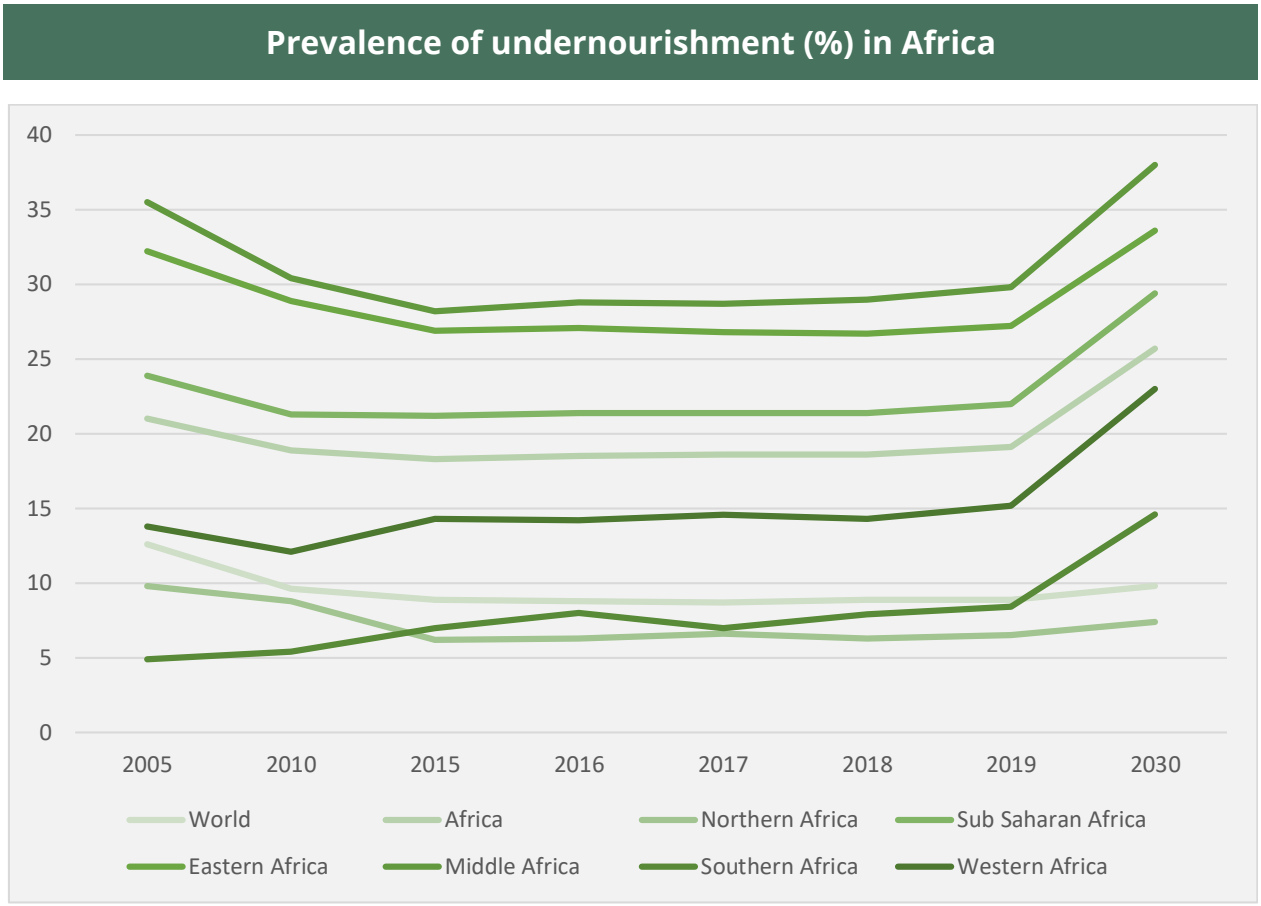


Figure 3: Prevalence of undernourishment (%) in Africa. (Source: Food Agriculture Organization (FAO)).

SDG 3: Ensure healthy lives and promote wellbeing for all at all ages

Progress made over the SDG period has been much faster than that during the MDG era. However, the progress is still short of the required progress to reach the SDGs. The data underpinning the overall assessment for Goal 3 also remains limited. Of the 32 Indicators for this goal, only 18 have data, most of which are outdated[25].

Child mortality remains high in Sub-Saharan Africa at 84 deaths per 1000 live births, more than double the world average (43). This is despite the fastest decline in 15 years to 2015[26]. Recent SDGCA forecasts indicate that North Africa which has already met the SDG under 5 mortality target, East Africa and Southern Africa are likely to meet the 2030 targets with concerted efforts. However, West Africa and Central Africa remain off-track. Maternal mortality also remains high in Africa, standing at 546 deaths per 100,000. The unmet demand for family planning remains the highest in Africa, with the proportion of women aged 15-49, married or in union, having their need for family planning satisfied through modern methods of contraception at only 31% in 2017, compared to a world average of 75%. Only six in ten births are attended to by skilled health professionals. The overall status of progress against all SDGs is provided in Table 3.

25 Ibid SDGCA (2019).
26 https://unstats.un.org/sdgs/report/2017/goal-03/

Table 3: SDG progress in Africa

SDG	Status
SDG 1: End poverty in all its forms, everywhere	✓ Latest World Bank data 2015 and the rest are forecasts. ✓ Only six have up-to-date data for 2016 or 2017 ✓ Poverty rate (USD 1.99 PPP) 2015 at 41% compared to world at 10% ✓ 56% of global poor in Africa in 2015 and 9 in 10 poor also expected to be in Africa ✓ The poverty target for 2030 will not be met. Only North Africa is on track ✓ In 2020 alone, COVID-19 is expected to add 21 million in optimistic case and over 82 million in worst case ✓ Poverty rate of 31% in 2030 compared to pre-COVID-19 2030 forecast of 29% ✓ 4 in 10 of employed people in SSA are poor ✓ 49% of children in Africa excluding North Africa are in extreme poverty ✓ 70% of Africans in multi-dimensional poverty, accounts for 65% of the global poor. ✓ Social protection systems are weak and limited. ✓ Only 18% receive at least one cash social protection
SDG 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture	✓ Food insecurity is pronounced (Over 270 million in 2018) ✓ Additionally, with COVID-19 more than 73 million people in Africa to face acute food insecurity. ✓ 2030 target unlikely to be met – Africa SDG index ✓ 34 African countries in need of food assistance ✓ 280 million malnourished ✓ 63 million children stunted ✓ Undernourishment 2030 forecast which was 26% is now forecast at 32% in 2030 due to COVID-19 ✓ Other risks prevail such as climate change and desert locusts ✓ Achieving Zero Hunger by 2030 appears to be an increasingly daunting challenge
SDG 3: Ensure healthy lives and promote well-being for all at all ages	✓ 110 million people under catastrophic expenditure i.e. 10% and above out of pocket expenditure ✓ Only 60% of pregnant women are attended to by trained health-care personnel. ✓ Under-five mortality is highest in Africa, far exceeds the global average of 39 deaths per 1,000 live births. Somalia, Chad and Central African Republic have the highest rates at 132.5, 127.3 and 123.6 per 1,000 live births respectively. ✓ Africa has the highest burden of maternal deaths ✓ COVID-19: Exacerbating shortages and Africa's already weak health systems

SDG	Status
SDG 4: Ensure inclusive and equitable quality education and promote lifelong opportunities for all	✓ No African country has achieved universal primary enrolment. Though progress made, Africa unlikely to attain primary school enrolment of 100% ✓ Completion rates are lowest in Africa, 64% at primary education level, 37% at lower secondary level and 27% at upper secondary level. ✓ At least 61% of 36–59-months-old children are developmentally on track in one of three critical areas: literacy–numeracy, physical development, social–emotional development and learning ✓ Almost 60% of youth between the ages of about 15 and 17 are not in school ✓ COVID-19: Nearly 300 million African students (previously enrolled) are out of school
SDG 5: Achieve gender equality and empower all women and girls	✓ Legislators - the average in sub-Saharan Africa (24.2% female) exceeds the world average of 23.6%. ✓ Gender parity in primary and secondary schools is almost tenable but lower in higher institutions. ✓ Still predominating challenges in gender disparities ✓ On average, women in sub-Saharan Africa achieve 89% of male human development outcomes relative to the world average of 94% ✓ Gender based violence remains pronounced ✓ COVID-19 expected to widen gaps between genders. ✓ Increased violence against women and girls. Decline of women's incomes
SDG 6: Ensure availability and sustainable management of water and sanitation for all	✓ Basic drinking water services coverage in SSA at 61% compared to above 90% for all the regions of the world ✓ Access to sanitation is also lowest in the region ✓ Water stress, the ratio of total freshwater withdrawn to total renewable freshwater resources above a threshold of 25 per cent is highest in North Africa ✓ Inadequate basic services that are hindering vulnerable people from following preventative measures against the COVID-19 virus ✓ SDGCA forecast results indicate that SSA will not achieve the targets of universal coverage in all the four areas (basic drinking water, basic sanitation)
SDG 7: Ensure access to affordable, reliable, sustainable and modern energy for all	✓ In 2017 electricity coverage level of 44.6%, SSA ✓ The average per capita consumption of electricity was 1.5 times lower than the next most underprivileged region South Asia ✓ More than 497 million people were excluded from accessing modern energy services in 2019 (UN DESA, 2019). ✓ Providing electricity for all in Africa by 2030 would require an annual investment of $52 billion per year (IEA, 2017). ✓ The percentage of the population of SSA using clean fuel & Technology for cooking was only 14% compared to the world average of 60% ✓ SDGCA forecast results indicate that SSA will not achieve the targets of universal coverage in all the four areas (electricity, and clean fuel and technology for cooking).

SDG	Status
SDG 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all	✓ Growth is below average of 7% per annum ✓ Optimistic case for 2020 under COVID-19 is (-1 to -3%) ✓ Unemployment levels in Africa are among the highest in the world – work is largely informal, and unemployment is on average around 7%. ✓ Youth not in employment, education or training (NEET) is high ✓ Working poverty prevails ✓ Informal employment outside agriculture is 77 % (83% among women) ✓ Access to financial services is low, with large gender gaps ✓ Remittances as a percentage to GDP declined due to COVID-19 and cost of transfer at 9% compared to target of 3%. ✓ Decent jobs 2030 unlikely to be met. Minimum wage usage remains limited and very low
SDG 9: Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation	✓ Industry share of GDP remains low and hardly increasing. ✓ Manufacturing value added share of GDP stagnated at 10% and 2030 target will likely not be met. ✓ Internet usage in Africa is very low in comparison with the world average. 1 in 5 people in Africa has access to the Internet. ✓ Broadband costs remain high in East, West, Central and Southern Africa above the threshold of 2% — defined as 1GB for no more than 2% average monthly income. ✓ Weak and poor infrastructure according to WEF Global Competitiveness Index: Infrastructure gap is estimated at USD 170 million annually
SDG 10: Reduce inequality within and among countries	✓ Africa is the second most unequal region after Latin America ✓ 7 out of 10 most unequal nations in Africa are all in southern Africa ✓ Wealth data missing but land inequalities also pronounced ✓ Top 10% account for more than 50% of the national income
SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable	✓ Africa is yet to reap the transformative benefits of urbanization. Africa is 43% urbanized ✓ The absolute number of people living in slums or informal settlements in sub-Saharan Africa is 238 million ✓ COVID-19: Short term reduction in pollution improves air quality but increase in urban poverty.
SDG 12: Ensure sustainable consumption and production patterns	✓ Domestic material consumption per unit of GDP, 2010 and 2017 (kilogram per dollar) declined to 2.5% in 2017 compared to 2.7%

SDG	Status
SDG 13: Take urgent action to combat climate change and its impacts	✓ 48 countries ratified the Paris Agreement on climate change ✓ Africa contributes the least to carbon emissions globally but is the most vulnerable to climate change. ✓ Of the world's worst twenty performers, only one is African: South Africa, which produces 467.7 MT per annum. ✓ COVID-19: Decrease in GHG emissions, but efforts to meet the climate commitments threatened by the economic Recession.
SDG 14: Conserve and sustainably use the oceans, seas and marine resources for sustainable development	✓ There is no data available to assess the progress. ✓ However, most of the countries with maritime borders do not have protected areas for marine life. ✓ COVID-19: Reduced fishing but increase in single-use plastic waste.
SDG 15: Life on land	✓ The continent is performing relatively well with a good amount of protected land dedicated to supporting biodiversity. The only two regions with a greater proportion of protected areas relative to areas of biological significance are Europe and North America
SDG 16: Peace, Justice and strong Institutions	✓ Progress in reducing violence and related death rates is low, and data gaps are large ✓ Proportion of children under 5 years whose births have been registered with a civil authority, latest data 2018 stood at 46% compared to 73%
SDG 17: Partnerships for Goals	✓ Financing gap around US$ 600 billion–US$ 638 billion (Schmidt-Traub, 2015), and up to US$ 1.3 trillion (Kante, undated). ✓ COVID-19: Increased global partnership commitments but still short of requisite levels. Long-term risk of reduced ODA and other resources. ✓ Africa spends less than 0.5% of its GDP on research and development
Overall, there is progress, but it is not fast enough to meet SDG targets as exhibited in the SDGCA and SDSN annual Africa SDG Indices and Dashboards. COVID-19 is expected to impede implementation of most SDGs by the 2030 deadline. Funding gap has also widened as have domestic revenue streams. The Decade of Action requires honest and proactive accelerated actions from all.	

Source [27]: Various (UNDP SDG database[28], Africa SDG Index and dashboards, World Bank PovcalNet, UNICEF, ILO, WHO. AfDB statistics yearbook among others)

27 https://www.africasdgindex.org
28 https://www.africa.undp.org/content/rba/en/home/sustainable-development-goals

2.1.5 Implementation of SDG 16 on effective, strong, and efficient institutions

SDG 16 aims to promote peaceful and inclusive societies, provide access to justice for all, and build effective, accountable institutions at all levels. The Goal has 23 Indicators – and only 6 have data at the continental level.

However, most of the data is outdated and not fully available across all countries. Intentional homicide[29] remains pronounced mostly in South Africa, with 33.97 of intentional homicide deaths per 100,000 people in 2016, followed by Central African Republic 19.76 (2016), Namibia 17.4 (2012), South Sudan 13.9 (2012), Uganda 11.52 (2014), Cote d'Ivoire (2015) and Mali 10.9 (2015)[30]. In 2017, the annual number of deaths from conflict and terrorism per 100,000 residents were highest in South Sudan (42.5), Central African Republic (40.65), Somalia (32.26) and Libya (22.07). While data may be outdated, predating SDGs, more than 50% of African nations had more than 60% of the children (2-14 years) experiencing corporal punishment[31].

Birth registration concerns less than half of the children under 5 years of age, compared with the global average of nearly three quarters. SSA together with Latin America have the lowest share of countries which applied for accreditation in compliance with the Paris Principles that measure the compliance of existing national human rights institutions with the Principles relating to the Status of National Institutions (The Paris Principles) respectively at 57.14% and 55.88%. Data gaps on public access to information are largest in Africa.

Physical and sexual violence against women remains the highest in Africa. Thirty-six (36) out of fifty (50) countries with the highest share of women, aged 15 years and older, who experienced physical or sexual violence from an intimate partner in the past year were found in Africa based on 2017 data. The annotated shares of African nations are presented in Figure 4.

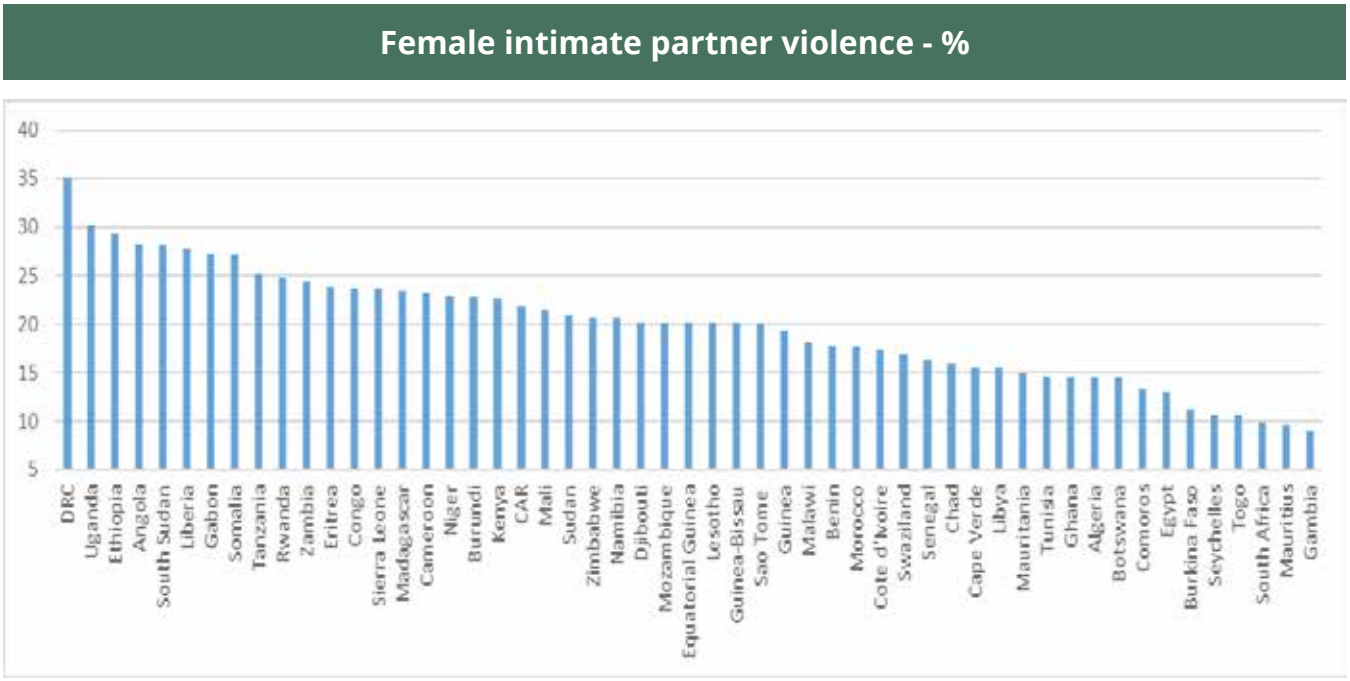


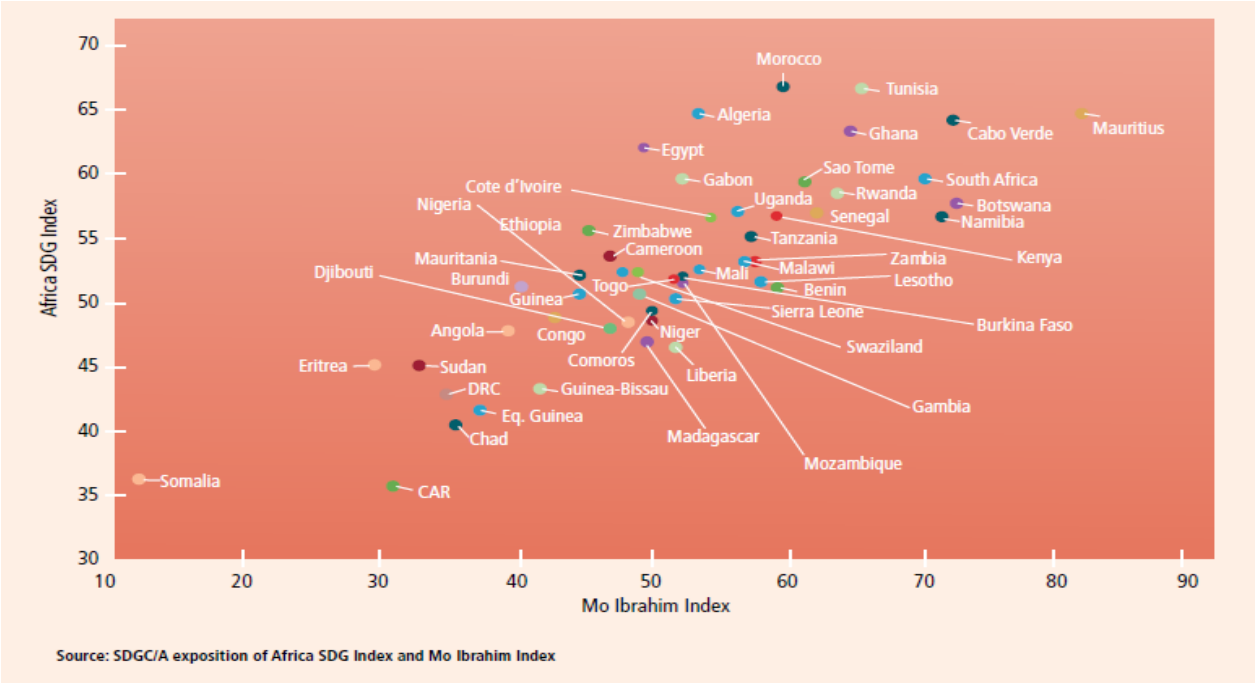
Figure 4: Female intimate partner violence – % (Source: Institute for Health Metrics and Evaluation (IHME)[32].

29 Intentional homicides are estimates of unlawful homicides purposely inflicted as a result of domestic disputes, interpersonal violence, violent conflicts over land resources, intergang violence over turf or control, and predatory violence and killing by armed groups.
30 https://sdg-tracker.org/peace-justice
31 UNICEF Global Databases (2016)
32 http://ghdx.healthdata.org/record/ihme-data/gbd-2017-health-related-sdgs-1990-2030

Even if data was comprehensive enough to appreciate progress against SDGs, the full picture of governance progress would not be attained – calling for a qualitative approach to backstop the existing metrics of SDGs[33]. This would require a holistic capture of the political and country characteristics. Therefore, the adoption of CEPA principles, as presented in the following chapters, presents a great value addition to assess institutional aspects of SDG 16 which cannot be captured by raw data of certain indicators.

The significance of SDG 16 as a goal and enabler for other SDGs is emphasized through different pieces of research from inside and outside the continent. Overall governance and institutions matter for development. A recent SDGC/A analysis, whose results are corroborated by the Mo Ibrahim findings, reveals positive correlation between governance and SDGs (proxied by the Africa SDG Index)[34].

Correlation between Governance and SDGs



Source: SDGC/A exposition of Africa SDG Index and Mo Ibrahim Index

Figure 5: Correlation between Governance and SDGs

According to the 2019 Africa SDG Index and Dashboards (see Figure 6), SDG 16 has strong positive correlation with SDGs (1,2,3,4,5,6,7,8,9 and 11).

33 https://mo.ibrahim.foundation/iiag/gr-2019-key-findings
34 https://sdgcafrica.org/wp-content/uploads/2020/06/COVID-19-UNPRECEDENTED-RISK-TO-SDGs-IN-AFRICA_Web-Final.pdf

Correlation plot between goals

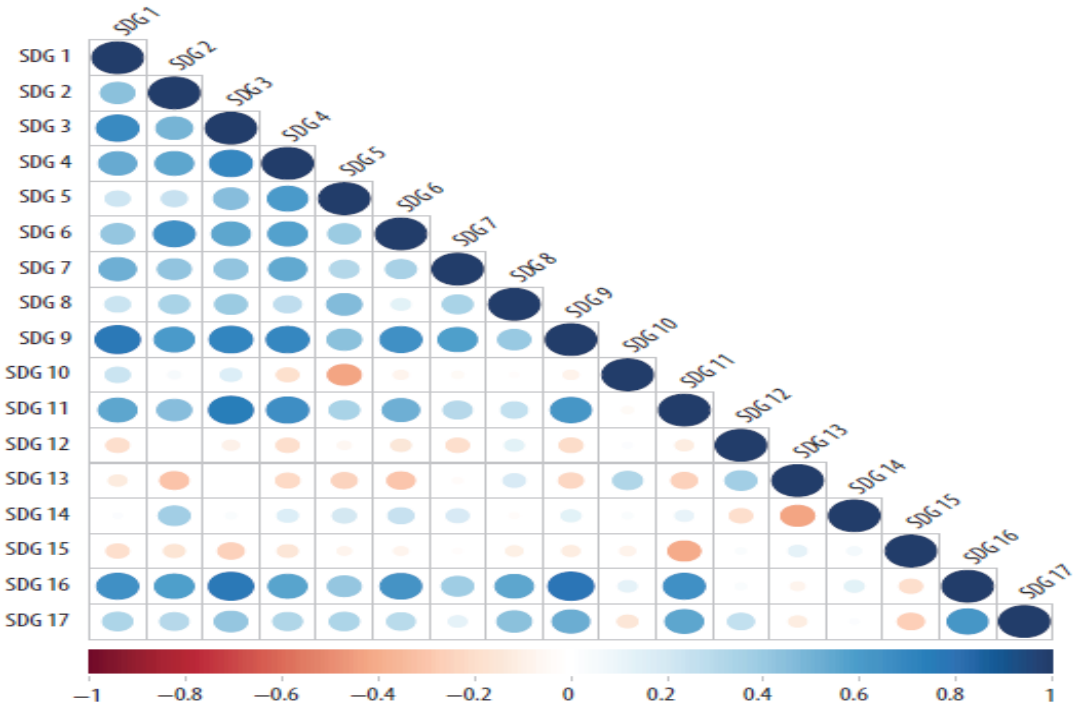


Figure 6: Correlation plot between goals

Source: Extract from the Africa SDG Index and Dashboards.

2.1.6 Gaps and emerging issues, challenges, and opportunities during COVID-19

In the implementation of SDGs and AU aspirations, there are opportunities as well as challenges for African nations. The major challenges are mainly structural, institutional and political.

SDG financing remains an integral part of the African Development Agenda. The financing needs related to the implementation of the Agenda 2030 and Agenda 2063 are immense. At present, the level of growth and financial resources required for realising the SDGs remains an issue. Overall, both domestic and external sources of financing are expected to narrow and yet already the financing gap for SDGs for Africa is as much as what it collectively receives from all sources annually[35]. Most African nations run twin deficits and yet COVID-19 has dented financing prospects. In addition to the current deficit (largely trade deficit), most African countries run fiscal deficits that are expected to widen, thereby narrowing further their fiscal space. Although ODA is still relevant, it is increasingly becoming insufficient and unstable in the face of on-going economic problems in Europe and elsewhere and cannot therefore be the principal source of funding for African countries. ***Hence, African countries must carefully evaluate their financing options and how they impact debt sustainability. In addition, integrated financing frameworks, aligning national development plans with national budgets, and partner support, are very critical for success.***

35 https://www.usaid.gov/sites/default/files/documents/1866/2016_Africa_CSOSI_-_508.pdf

SDGs Financing in Africa in the context of COVID-19 [36/37/38/39/40/41/42]

Type of Financing	Trend (Outlook)
Domestic Revenue	▪ Financing gap of 25-30% of GDP to finance SDGs[36]. ▪ More than 50% of African countries have a tax to GDP ratio below 16%. ▪ Tax revenue expected to decrease due to decline of business activities. ▪ Illicit financing could rise and drain domestic resources in the context of COVID-19[37]. ▪ Almost all African countries are affected.
FDI	▪ Rose to US$ 46 billion and contributed 4.5% of GDP in SSA in 2018[38]. ▪ Downward pressure on FDI could reach -30% to -40% globally and 11% in Africa compared to -21% in Asia, -14% in Latin American and Caribbean. ▪ More than 10% of African countries to be hard hit.
Remittances	▪ Reached $48 billion in 2019[39]. ▪ Expected to sharply drop by 23.1% in 2020 due to the pandemic[40]. ▪ More than 15% of African countries to be hard hit.
ODA	▪ ODA to DAC member countries stood at 0.3% down from 0.31% in 2018 & below SDG target of 0.7%. ▪ Total receipts-US$ 52.8 billion in 2017 out of which 60% of the recipients are low-income countries[41]. ▪ Flows are expected to diminish as major donors are experiencing the severe effects of the pandemic. ▪ More than 60% of African countries to be badly affected.
Debt	▪ 22 countries (40%) are under debt stress with debt to GDP ratio of more than 61%[42]. ▪ Financial needs in fighting against the pandemic – US$ 114 billion, what is mobilised by IMF and World Bank-US$ 57 billion, with a financial gap of US$ 44 billion. ▪ Additional borrowing (without flexible conditions) will increase debt stress.

Figure 6: SDGs Financing in Africa (Source: SDGC/A compiled from different sources)

36 SDGCA. (2019). Africa 2030. Sustainable Development Goals Three-Year Reality Check. Kigali, Rwanda
37 GFI. (2020). Covid-19 and Illicit Financial Flows: What's to Come. https://gfintegrity.org/covid-19- and-illicit-financial-flows-whats-to-come/
38 World Bank. (2020b). Africa's Pulse, No. 21, Spring 2020: An Analysis of Issues Shaping Africa's Economic Future. World Bank, Washington, Dc. © Worl Bank.
39 World Bank. (2020a). COVID-19 Crisis through a Migration Lens. Migration and Development Brief, No. 32. Washington, D.C. : World Bank Group.
40 World Bank. (2020b). Africa's Pulse, No. 21, Spring 2020 : An Analysis of Issues Shaping Africa's Economic Future. World Bank, Washington, Dc. © World Bank
41 OECD 2019. DEVELOPMENT AID AT A GLANCE. https://www.oecd.org/dac/financing-sustainable-development/development-finance-data/Africa-Development-Aid-at-a-Glance-2019.pdf
42 IMF. (2020a). Regional Economic Outlook: Sub-Saharan Africa. Covid-19: An Unprecedented Threat to Development. Washington, DC.

Data and SDGs reporting

Data gaps across the African continent threaten or undermine the achievement of the SDGs and the AU's Agenda 2063. Moreover, the quality and credibility of the available disaggregated data among African states remain an issue, and the operational and institutional capacity for up-to-date data is still weak[43]. Evidence suggests that almost half of the 255 targets of Agenda 2063 are not directly quantifiable, and all SDGs related to human rights and governance have indicators with insufficient levels of data to assess progress for Africa[44]. As a result, African countries are having limited impact on policy and practice, and ultimately on the lives of poor people. Based on emerging standard practices, African governments need to assess and utilise evidence-based data gaps to inform policy priorities and national targets, indicators and baselines for successful implementation of development agendas.

Additionally, an effective measurement framework and structured process for statistical data to monitor and report progress of SDGs and AU Aspirations, inform policy and ensure accountability of all stakeholders is imperative. ***In this context, there is need to take advantage of the existing data-based system developed (for example the monitoring and reporting system by SDDC/A) to generate real time data, track and report progress on human rights and governance and as well as continental commitments at the country level.***

Domestication of Agenda 2030

Domestication of the agendas remains incomplete and varied implementation prevails at both the country and sub-national levels. Political will towards the SDGs is heterogeneous and arguably lacking[45]. Where the Institutional Arrangements for coordination, implementation, monitoring and reporting frameworks are in place, they remain not fully functional and operational. While more than two thirds have a coordinating unit for SDGs, stakeholder engagement and awareness still remain low, in part reflecting limited awareness within governments themselves. Capacity gaps across stakeholders predominate, as do lack of policy coherence and coordination across levels of government and lack of effective linkages between policy planning and budgeting at the central/federal level of government. ***Strong coordination within and among government ministries and agencies – as well as with civil society, the private sector, academia, communities and development partners – is critical for success.***

43 https://www.usaid.gov/sites/default/files/documents/1866/2016_Africa_CSOSI_-_508.pdf
44 https://mo.ibrahim.foundation/iiag/gr-2019-key-findings#kf
45 Africa SDG Index and Dashboard (2020).

Conclusion

There are a multitude of other challenges (structural in nature) to SDGs and Agenda 2063, some of which are induced by COVID-19. Social inclusion remains wide-ranging, and the bottom of the pyramid is comprised of the majority of Africans. This is explained by the lack of demographic transition with median African aged 19 years and population growth outstripping the progress being made, constraining the swift intergenerational mobility of opportunities. This is reflected in the poverty rate reduction but not in the number of poor in Africa over the last three decades. A measure of quality of life, the human development index shows Africa compares unfavourably with other regions.

Africa health and education exclusion levels are above any other region, at risk of future productivity as shown in the World Bank's Human Capital Index (HCI) - a measure of the potential productivity (at 18 years) of a child born today shows that Africa's HCI score is 0.4, compared to a global average of 0.57. This implies that children born in Sub-Saharan Africa today will be only 40% as productive at 18 years compared to a child who receives complete education and has full health[46]. Total factor productivity has remained stagnant and, in some instances, declined. Agricultural and manufacturing productivity is growing marginally but is below the pace required to meet the 2030 targets. Africa is the driest continent and its increased susceptibility to climatic conditions (in both intensity and frequency) will continue to affect food security and agricultural output. The situation is not helped by the fact that 95% of agriculture is dependent on rain. ***The need to build resilience and buffers is a must, in light of economic and non-economic shocks. COVID-19 downside effects could wipe out a few years of progress.***

SDG 16 stands as a goal as well as an enabler to achieve the mentioned SDGs and Agenda 2063 goals. The progress towards this goal is challenging in several African countries despite humble achievements in the last four years. Therefore, CEPA principles, as discussed in the next chapter, provide a holistic approach to capture progress of SDG 16 in the continent from a qualitative perspective. It also supports policy makers and experts with adequate tools and strategies to combat global crises and shocks as COVID-19.

46 World Bank. (2019).*World Development Report 2019: The Changing Nature of Work.The World Bank, Washington, Dc*: World Bank.

27,410
26,718
26,190
25,714

Chapter 03

Understanding the CEPA Principles

Understanding the CEPA Principles[47]

This chapter serves as a reference for African experts and policymakers on the CEPA principles for effective governance of SDGs and Agenda 2063. As mentioned in chapter Two's conclusion, governance has a strong role in galvanizing the implementation of both agendas at national levels. The 2030 SDGs Agenda and AU Agenda 2063 necessitate upgraded governance systems that are effective, accountable and inclusive, in principle and in practice. At the time that these seminal agreements were set in motion, the UN-CEPA recognized that an internationally agreed set of fundamental principles could help clarify the governance agenda and would be most useful if it could spur people to adopt implementation roles to think about feasible reforms that take into account each country's starting point and prioritise key problems according to each country's capacities and context.

The chapter displays the significance of the eleven basic principles of effective governance for sustainable development established by CEPA, their applicability and measurability challenges. The principles present an attempt to do just that, building on the diverse range of UN agreements elaborated over many years. Assessing progress by measuring governance systems is essential. In developing indicators, emphasis could helpfully be placed on outcomes rather than rules both to focus attention on the larger picture and to encourage innovation and experimentation in the performance of government functions. The COVID-19 pandemic has shown how indispensable effective, accountable and inclusive governance systems are. At the same time, the pandemic presents a unique opportunity to reimagine the role of institutions and policy- making, promote new governance norms based on the principles and shift from past practices to transformative pathways that strengthen resilience and accelerate action to achieve common goals.

3.1 Why these principles of effective governance?[48]

The landmark 2030 Agenda for Sustainable Development and Agenda 2063: *The Africa we Want* both commit countries, in one form or another, to building effective, accountable and inclusive institutions and having transformative leadership in place at all levels. Accountable leadership and responsive institutions are understood to be critical enablers for Africa's transformation.

There also appear to be strong, positive linkages between the institution-building objectives of the 2030 Agenda and all of the SDGs. For example, the ability to explore innovative sources of financing, manage public-private partnerships, adopt new approaches to biodiversity preservation, improve wastewater treatment, strengthen social protection and expand access to health care all require adequate capacity on the part of the institutions that have a lead role in putting the relevant laws and regulations to work.

Inscribing institution-building in these global and regional development agendas was a major achievement, but it also begs the pragmatic question of what institution-building means and how to go about it. As an aspiration, the pursuit of effective, accountable and inclusive institutions also raises the question of whether its constituent elements – of effectiveness, accountability, and inclusiveness – are universal and durable principles of governance or discretionary and therefore subject to different interpretations and negotiations.

In intergovernmental resolutions, good governance is often linked to the rule of law, and sometimes also democracy or human rights. These latter concepts are explicitly elaborated and codified in a substantial body of national and international law. Important features of good governance, by contrast, such as integrity, transparency, and accountability, while frequently held up as ideals, are more diffuse in their expression with no precise indication, especially at the international level, as to their meaning and application in different institutional contexts.

47 The following chapter is based on excerpts from reports prepared by the UN Secretariat in collaboration with members of CEPA.
48 Main authors: Patrick Spearing, Prof. Geert Bouckaert (CEPA Expert), Prof. Geraldine Fraser -Moleketi CEPA Chairperson of UN-CEPA Secretary and Chancellor of Nelson Mandela University in South Africa.

In adopting the principles, CEPA stressed that they must have a practical application and be aimed at bringing together and promoting further the development of relevant standards and operational guidelines in all areas of institution-building relevant to the achievement of the SDGs.

3.1.1 Core element

Various attributes of good governance have been referred to as a foundation of development in numerous international agreements and commitments. Good governance has also been affirmed, recognised, underlined and acknowledged in some 350 General Assembly and ECOSOC resolutions as essential for sustained economic growth, sustainable development, the eradication of poverty, hunger and malnutrition, and other major development outcomes. When general principles – such as social equity, the rule of law and leaving no one behind – as well as more specific notions are considered, the list grows longer.

Where there are different normative positions, such as those in governance, multiple reference points emerge. The eleven basic principles of effective governance for sustainable development developed by the CEPA provide one such conceptual framework that, in the view of the Committee, embodies the vision of the 2030 Agenda and builds on this diverse range of UN agreements that have been elaborated over many years.

3.1.2 Applicability to all parts and levels of Government

The African Charter on Values and Principles of Public Service and Administration, the EU-OECD Principles of Public Administration for the EU enlargement process as well as for its neighbourhood policy, and the Ibero-American Charter for the Public Service all point towards a broad understanding of what constitutes a country's administrative system. This includes any institution or organisation that undertakes public service duties (the African Charter on Values and Principles of Public Service and Administration), independent constitutional bodies, as well as the Parliament and judiciary within the scope of their scrutiny and oversight powers over the State administration (the EU-OECD Principles of Public Administration), and both centralised and decentralised bodies, whether or not they have their own legal personalities (the Ibero-American Charter for Public Service).

Taking a cue from these regional norms, the principles are intended to apply to all public institutions, including the administration of executive, legislative and judicial organs at all levels, the security and justice sectors, independent constitutional and regulatory bodies, and State corporations.

3.1.3 From principles to practice

In considering the principles, the ECOSOC recognised that there was a need for pragmatic ongoing improvements in national and local governance capabilities to achieve the 2030 Agenda and other international agreements and noted that the Committee's work in this area could serve as an important reference point in building effective, accountable and inclusive institutions at all levels and in support of the implementation of all of the SDGs.

The Committee agreed that relating the principles to operational practices could address the tension between aspirational goals and a need for practical improvements in governance. The Committee has stressed that such practices should be concrete if they are to be of use to practitioners and clearly connected with the specific governance challenges to be addressed. The principles are thus given depth and made operational by selecting commonly used strategies and related practices, which are an integral and evolving part of this work. The Committee has identified 62 such strategies, each associated with 1 of the 11 principles.

The following is the full text of the principles, endorsed by the UN ECOSOC in 2018:

3.2 Principles of effective governance for sustainable development

The full realisation of the SDGs and other internationally agreed development objectives will hinge in no small part on a common understanding of the basic principles of effective governance for sustainable development. The basic principles set out below are intended to clarify the governance agenda, considering different governance structures, national realities, capacities and levels of development and respecting national policies and priorities. They have been developed by the CEPA to help interested countries, on a voluntary basis, build effective, accountable and inclusive institutions at all levels, with a view to achieving the shared vision for the people and the planet embodied in the 2030 Agenda for Sustainable Development. As basic principles, they apply to all public institutions, including the administration of executive and legislative organs, the security and justice sectors, independent constitutional bodies and State corporations. The principles are given depth and made operational through a selection of commonly used strategies and related practices, which are an integral and evolving part of this work.

Table 4: The UN-CEPA Principles and Strategies

Principle	Definition	Commonly used strategies
Effectiveness		
Competence	To perform their functions effectively, institutions are to have sufficient expertise, resources and tools to deal adequately with the mandates under their authority	• Promotion of a professional public sector workforce • Strategic human resources management • Leadership development and training of civil servants • Performance management • Results-based management • Financial management and control • Efficient and fair revenue administration • Investment in e-government
Sound policymaking	To achieve their intended results, public policies are to be coherent with one another and founded on true or well-established grounds, in full accordance with fact, reason and good sense	• Strategic planning and foresight • Regulatory impact analysis • Promotion of coherent policymaking • Strengthening national statistical systems • Monitoring and evaluation systems • Science-policy interface • Risk management frameworks • Data sharing
Collaboration	To address problems of common interest, institutions at all levels of government and in all sectors should work together and jointly with non-State actors towards the same end, purpose and effect	• Centre of government coordination under the Head of State or Government • Collaboration, coordination, integration and dialogue across levels of government and functional areas • Raising awareness of the SDGs • Network-based governance • Multi-stakeholder partnerships

Accountability		
Integrity	To serve in the public interest, civil servants are to discharge their official duties honestly, fairly and in a manner consistent with soundness of moral principles	• Promotion of anti-corruption policies, practices and bodies • Codes of conduct for public officials • Competitive public procurement • Elimination of bribery and trading in influence • Conflict of interest policies • Whistle-blower protection • Provision of adequate remuneration and equitable pay scales for public servants
Transparency	To ensure accountability and enable public scrutiny, institutions are to be open and candid in the execution of their functions and promote access to information, subject only to the specific and limited exceptions as are provided by law	• Proactive disclosure of information • Budget transparency • Open government data • Registries of beneficial ownership • Lobby registries
Independent oversight	To retain trust in government, oversight agencies are to act according to strictly professional considerations and apart from and unaffected by others	• Promotion of the independence of regulatory agencies • Arrangements for review of administrative decisions by courts or other bodies • Independent audit • Respect for legality

Inclusiveness		
Leaving no one behind	To ensure that all human beings can fulfil their potential in dignity and equality, public policies are to take into account the needs and aspirations of all segments of society, including the poorest and most vulnerable and those subject to discrimination	• Promotion of equitable fiscal and monetary policy • Promotion of social equity • Data disaggregation • Systematic follow-up and review
Non-discrimination	To respect, protect and promote human rights and fundamental freedoms for all, access to public service is to be provided on general terms of equality, without distinction of any kind as to race, colour, gender, language, religion, political or other opinion, national or social origin, property, birth, disability or other status	• Promotion of public sector workforce diversity • Prohibition of discrimination in public service delivery • Multilingual service delivery • Accessibility standards • Cultural audit of institutions • Universal birth registration • Gender-responsive budgeting
Participation	To have an effective State, all significant political groups should be actively involved in matters that directly affect them and have a chance to influence policy	• Free and fair elections • Regulatory process of public consultation • Multi-stakeholder forums • Participatory budgeting • Community-driven development
Subsidiarity	To promote government that is responsive to the needs and aspirations of all people, central authorities should perform only those tasks which cannot be performed effectively at a more intermediate or local level	• Fiscal federalism • Strengthening urban governance • Strengthening municipal finance and local finance systems • Enhancement of local capacity for prevention, adaptation and mitigation of external shocks • Multilevel governance
Inter-generational equity	To promote prosperity and quality of life for all, institutions should construct administrative acts that balance the short-term needs of today's generation with the longer-term needs of future generations	• Sustainable development impact assessment • Long-term public debt management • Long-term territorial planning and spatial development • Ecosystem management

3.2.1 Questions of measurement

A first question in the selection of indicators would be what is meant by governance. Governance indicators – and underlying this, the definition of governance – have been contested, quite strongly sometimes, for a variety of reasons, including because they can have a material impact on countries (e.g., when they have been used as criteria for aid allocation or treaty accession, or affect investors' choices). Where there are different normative positions, such as those in governance, multiple reference points emerge. The principles of effective governance for sustainable development provide one such conceptual framework.

Turning to the question of measurability, linking the principles with indicators can help interested Governments to gauge the extent of effective governance for sustainable development at the national and sub-national levels. Indicators can also enable countries to compare reform policies undertaken in pursuit of governance objectives with others. In this effort, emphasis could helpfully be placed on an assessment of outcomes rather than rules and on encouraging innovation and experimentation in the performance of government functions. As the principles are intended to be helpful regardless of development context or governance model, beyond pointing to commonly used strategies for their operationalisation, they make no reference to administrative structures, levels of revenue and expenditure, operational strategies or forms of economic, social, and environmental regulation.

As mentioned earlier, it is widely accepted that effective, accountable, and inclusive institutions enable the achievement of the SDGs. At the highest level of analysis, therefore, the principles could simply be associated with the global SDG indicator framework. Where progress is lagging in implementation of the SDGs 2030 Agenda and AU Agenda 2063, institutional gaps are sure to be found and these gaps may even be traced to different levels of government or specific sectors. Yet, such an understanding would not tell us much about the nature of the challenges that government administrators are facing, nor about the institutional factors within the larger political economy that may be holding back progress on the achievement of national development objectives.

At the second level of analysis, each of the 11 principles could be linked to additional governance indicators developed for more specific purposes. How to measure adherence to the principles is a main subject of study by the Committee. Indicators at this level of analysis could be particularly helpful in pinpointing aspects of effective governance – within a group of ministries and agencies – that could be significantly hindering progress towards one goal or another. Insufficient attention to the principles of leaving no one behind and sound policymaking in public administration, for example, may be acting as a drag on the reduction of inequalities or the protection of terrestrial ecosystems which reduces the scope of the problem. In the light of the SDGs, and SDG 16 in particular, there is need to broaden the concept of "effective governance for sustainable development". It ought to encompass manifestly the requisites for outreach, wide inclusion, as well as equity and redistributive justice.[49]

Some 80% of countries have national development plans that are used as the basis for country results' frameworks, while 20% use sectoral plans. Comparing expected sustainable development outcomes such as these to indicators of effective governance based on the principles could enable an analysis of specific gaps in institutional capabilities that may be hindering the achievement of national objectives. At the regional or global level, such indicators could also help gauge the extent to which different combinations of reform policies contribute to operationalising the principles in various developmental and institutional contexts.

Some important questions arise regarding the selection of indicators, the administrative levels within countries and the units of analysis (e.g. branches of government, jurisdictions, institutions, or individual agencies). In addition, the baseline study provides an opportunity to consider how existing monitoring tools and initiatives relate to one another.

49 Sen, Amartya 2009: The Idea of Justice, Cambridge, Massachusetts, Harvard University Press

At the third level of analysis, indicators could be associated with commonly used strategies. Such practices are measured using key performance indicators based on the collective knowledge and experience of expert communities of practice. They may often reflect structures and processes, such as the ratification of a treaty or the proportion of administrative units audited, that are directly connected with the methods of implementation and the expected results of a strategy.

Structural indicators (e.g. ratification of a treaty or establishment of a specific body) and process indicators (e.g. proportion of administrative units audited) may be less revealing as markers of sustainable development because the attribution of specific practices to outcomes may not always be direct or clearly identifiable and may encourage a "box-ticking" approach to policy reforms. By way of illustration, it is commonly accepted that the provision of open government data promotes accountability and enables public scrutiny of institutions as well as inclusiveness. However, depending on the content and form of such data and the capacity of civil society actors to make use of them, open government data may have limited practical bearing on promoting access to information or revealing how government functions.

Well-crafted indicators of transparency that are independent of both sustainable development impacts and specific structures and processes could help to strengthen the analysis of what does and does not work under different conditions. Structural and process indicators may nevertheless be useful to countries as a point of reference in developing a broader range of governance statistics in specific contexts, as well as at the level of operational strategies.

Aside from the potential for knowledge-sharing, the development of indicators at the level of strategies could help interested countries to identify gaps in the availability of relevant administrative data, which may vary considerably among and within countries depending, among other things, on existing legal and regulatory requirements, institutional capacity and administrative processes. Some countries have substantial previous experience in governance monitoring, while others face considerable challenges when drawing from administrative sources to measure the impact of institutional reforms.

3.2.2 Data sources

The APRM has developed approximately 98 indicators in its four thematic areas, with reporting based on data produced in Africa in cooperation with national statistical offices. It was noted that such reports could be strengthened by conducting qualitative citizen reviews of public services as a complement to quantitative studies based, for example, on citizen satisfaction surveys. Reviews of the implementation of related commitments, such as the UN Convention against Corruption, could also be considered so as not to overburden countries with duplicate reporting requirements.

Similarly, efforts could be made to draw on unofficial data sources, such as national human rights reports and assessments, contextualize and localize indicators, such as those on access to informal institutions of justice promoted by the Group of Seven Plus association of countries that are or have been affected by conflict, and integrate the SDGs into audit plans through supreme audit institutions.

The rationale for the selection of key indicators varies, but in general, is related to the availability of existing data sets and best practices in governance data collection. For example, the Praia Group on Governance Statistics of the UN Statistical Commission advises that indicators should aim: (a) To cover all aspects of the topic; (b) To be relevant to policy making, with strong links to specific policies and strategies; (c) To be simple, clear and easy to understand by policymakers and other stakeholders; (d) To provide a direct and unambiguous measure of progress; (e) To be relevant across all or most countries.

Indicators could also be seen through the lens of specific development objectives. With regard to SDG 4, on quality education, for example, the focus could be on the application of the principles to institutions directly associated with the educational system or having important interconnections with it. While indicators of the UNESCO may already provide much of the conceptual and data content needed for analysis, the principles could suggest areas of governance for sustainable development that are less examined in the educational and related sectors.

Other opportunities may exist for linking the principles' framework to internationally comparable statistics in other sectors, such as health and employment, again bearing in mind that each set of indicators may have been developed for a specific purpose. While the education sector may put relative emphasis on inputs (e.g. expenditure, personnel and enrolment) and outputs (e.g. levels of educational attainment), the health sector may give relatively more attention to process and outcomes (e.g. health status, risk factors, service coverage and health systems) and the employment sector may give more attention to outcomes connected with the labour market (e.g. employment status, working time, wages and occupational safety).

Safety and security and access to and quality of justice, which are also at the core of the Praia Group initiative, could be also considered from an institutional perspective. The Department of Peace Operations (formerly the Department of Peacekeeping Operations) and the Office of the UN High Commissioner for Human Rights (OHCHR) have been active in suggesting common indicators of public order and safety and have produced an implementation guide on rule of law indicators, which is intended to help assess the capacity, performance, integrity, transparency and accountability of law enforcement agencies, the courts and correction services. The suggested indicators can also be used to monitor how vulnerable social groups are treated by these institutions.

Despite these multifarious initiatives, some principles of effective governance appear to be underplayed in work on indicators, namely, collaboration, independent oversight, subsidiarity and intergenerational equity. Additional attention could be given to gaps in these areas, while acknowledging that some aspects may not be well understood, for example, how to determine an optimal level of sharing responsibility for government functions between national and subnational levels or how to measure intergenerational equity.

3.3 Impact of the COVID-19 pandemic on the implementation of the CEPA Principles

The pandemic has provided an opportunity to test the logic of the principles in a situation that affects people and their lives, and directly examine the relevance of the principles to action by practitioners in the field. The principles have been found to be highly relevant. For example, it is clear that all countries derive a benefit from investing in capacities for policy and planning, risk management, integrated policymaking towards digital government and context-dependent, citizen-centric service delivery.

In many countries, the challenges facing the public sector that existed before the pandemic have become more prevalent and prominent. The pandemic has exposed risks and vulnerabilities of Governments, for example, in terms of their unpreparedness for crises, weaknesses in accountability and government coordination, inadequacies in public infrastructure and investment, including in health systems, and imbalances in economic and social development. The pandemic has shown that institutional resilience and the ability to identify and respond swiftly and decisively to threats to human health and well-being are pivotal. Implementation of the Goals could be impeded by the pandemic, in particular in situations in which awareness of them is lacking, and social inequalities have been further exposed by the pandemic, with vulnerable groups and those left furthest behind being the most impacted, including in relation to employment and social protection.

The pandemic has underscored the central role of effective, accountable and inclusive institutions at all levels that are capable of coping with complex and urgent governance challenges. This includes local authorities and communities, working in partnership with civil society and the private sector, in both crisis response and ongoing contextualized implementation of the SDGs.

Responses to the pandemic have shown that, with bold action, transformative changes are possible on a scale and at a speed far beyond what could have been imagined before. Governments should not simply aim to return to pre-existing procedures and institutional cultures in seeking to respond to the pandemic and planning for recovery. The pandemic presents a unique opportunity to reimagine the role of institutions and policy making, promote new governance norms and shift from past practices to transformative pathways that strengthen resilience and accelerate action to achieve the Goals.

Whole-of-government and whole-of-society approaches are essential to promoting policy coherence and integrated policymaking among national and subnational levels and across sectors. Such approaches should be accompanied by enhanced mobilization of and collaboration with different stakeholder groups, especially in the context of leaving no one behind. Action to promote real-time multilevel governance, taking into consideration enduring structural transformation, can be crucial. Competent institutions are needed to manage these relationships effectively, while a strong social contract is highly beneficial in mitigating crises and achieving sustainable development for all.

As a result of the pandemic, new light is also being shed on challenges and opportunities related to globalization, solidarity and the connectedness of the world amid increasing pressures on multilateral cooperation. Public institution-building and reform should be considered in this context, with emphasis on greater collaboration across regions and countries.

The principle of leaving no one behind calls for special attention in public policymaking to be paid to the needs of contractual workers and workers in the informal economy most affected by lost income as well as exclusion from government stimulus and social support measures. Similar challenges affect workers throughout the informal economy, including those deemed essential to the control of the pandemic and the management of its effects. Recovery measures that neglect the needs of contractual workers and workers in the informal sector may run the risk of undermining social cohesion and inhibit progress on implementation of the 2030 Agenda and Agenda 2063. Special measures to address inequalities and eliminate all forms of discrimination and their compounded negative impacts should receive renewed emphasis.

The pandemic has further resulted in the expanded use of digital technologies in public service delivery. Governments with robust digital platforms and digital tools have been better equipped to continue public service delivery during the crisis. From web conferencing platforms to artificial intelligence, big data to robotics, the role of digital technologies in mitigating risks and managing public responses is evident. Attention should be paid to upgrading telecommunications and electricity infrastructure in many countries, with Governments facilitating affordable access to high-speed Internet and improving digital literacy and knowledge-sharing.

However, strengthening the competence of institutions by leveraging digital government calls for greatly accelerated action to address digital divides within and across countries. The impact of digital government on the achievement of the Goals in general is determined by social and economic circumstances, for example, relating to the learning environment or access to water and sanitation in combating diseases. In addition, artificial intelligence and other technologies are expected to significantly shift and disrupt labour markets, which may have important implications for occupational groups involved in public service delivery. Investments in digital government and related infrastructure, knowledge and capabilities should thus be considered within the context of national sustainable development strategies and priorities.

3.4 Conclusion

Africa, like other continents on the globe, was hit by the pandemic in 2020. This has revealed institutional and human fragilities at different levels.

In 2021, humanity may be able to exit within a global health and economic crisis whose gravity is unprecedented since the Spanish flu of 1918 and historical economic crises. The crisis demonstrated the flaws and the shortcomings of a particular model of government whose force has swept the world for more than three decades. It was a business model that primed saving strategies (as cost-cutting) and efficiency (as doing more with less, or even fewer outputs with much fewer resources), the effective use of technology and the maximisation of outputs. It primed the private sector and market-type mechanisms, "de-privileged" the public and suffered from neglect of the distributive aspects of government activity. The outcomes of these strategies surfaced on many fronts when the pandemic struck and Governments, in several parts of the world, were found largely lacking the strategic reserves to deal with a calamity as complex and long-lasting as this pandemic.

The crisis has demonstrated the need for intergovernmental coordination and cooperation, highlighting the significance and role of the UN system as well as regional organizations such as the AU. The crisis also showed the fallacy of using a short-term cost benefit calculus and considering investments as costs in dealing with the tasks that Governments fulfil in serving the public interest and playing their part in international governance. As Governments look back on this pandemic as well as the experience of three decades, it will need to reassess the role of institutions and of strategic planning, as well as to reinforce the structures and processes of international cooperation. It will also need to reconsider partnerships for public service delivery, with the private and not-for-profit sectors, all levels of government, especially local government, and citizens. The challenges and issues that the world will face between now and 2030 require strengthened and enhanced capacity to govern at all levels.

Acknowledging the analysis, mentioned in Chapter 3, of the significance of the UN-CEPA principles and the necessity for an accurate and comprehensive assessment of indicators while recognizing countries' specificities, especially in Africa, the next chapter presents initial work conducted by The APRM and other regional partners to assess the status of implementation of the CEPA principles in selected African countries. This follows from the African Regional Workshop on Effective Governance for Sustainable Development: Putting Principles into Practice, co-organised by the UN DESA and The APRM in collaboration with the UNDP and held in October/November 2019 in Pretoria, South Africa.

Chapter 04

Awareness, Knowledge, Understanding And Implementation Of The CEPA Principles In Africa

Awareness, knowledge, understanding and implementation of the CEPA principles in Africa

4.1 Background on APRM Questionnaire and chapter structure

This chapter explains the status of the application of the principles of the UN-CEPA on effective Governance of SDGs in Africa. It synthesizes the results of the APRM newly developed tool to measure the level of understanding, knowledge, and implementation of the said principles. This tool (survey) was developed under the auspices of the APRM and shared with national experts from selected African countries for their feedbacks. Besides the survey instrument, a desktop analysis of various documents, including reports, policy statements, and outcome reports of APRM activities, were consulted to develop our analysis on the implementation of CEPA principles in Africa.

The survey and desktop study covered North, East, West, and Southern Africa. The data was collected from August to November 2020 from experts of national governments, civil society, and business groups. thirteen African countries were covered in the desktop study: Egypt, Sudan, Uganda, Kenya, Ethiopia, Rwanda, Ghana, Senegal, Nigeria, Mauritius, Lesotho, Botswana, and South Africa. With its new mandate, the APRM must monitor the implementation of SDGs as well as Agenda 2063.

4.2 Organisation of the chapter

The Chapter consists of seven sections. The first section focuses on the background and justification for the study. The section introduces (i) actors and the UN-CEPA principles, (ii) survey instruments, and (iii) survey execution. The second section deals with the demographics of the respondents. The third section discusses awareness of CEPA principles; the fourth section analyses the extent of knowledge and understanding; the fifth section discusses practices and dwells on challenges. The sixth section transits into the COVID-19 context and the practices constrained by COVID-19. The seventh and last section draws on all six sections and draws conclusions and sets forth recommendations.

4.3 The UN-CEPA Principles and relevance to the APRM

In 2018 the UN-CEPA put out a report on eleven principles anchored and classified under Inclusivity, Effectiveness, and Accountability. A set of sixty-two strategies undergird these eleven principles. In Chapter Three, the UN-CEPA Principles are described, and their purpose is outlined. In the main, the chapter explores the extent to which the UN-CEPA principles help address the following issues:

a) The APRM tools to monitor and evaluate - SDGs, particularly SDG 16, which matches Aspiration Three of Agenda 2063,

b) Applicability of these principles to the African context and African countries policies and practices,

c) What COVID-19 reveals as opportunities and threats/or challenges for implementing these principles in the countries under study, and

d) Identifying areas of intervention by the APRM under its expanded mandate to ensure reporting on good governance performance and SDGs in Africa.

Figure 7 serves as a point of reference through which the Report shall explore the concepts of awareness, knowledge, and understanding of the UN-CEPA principles.

Figure 7: UN-CEPA Principles of Governance (UN DESA, 2018)

There are three frames into which the principles are organised. These are the principles of effectiveness, accountability, and inclusiveness. To the 11 UN-CEPA Principles are attached a total of sixty-two Strategies that are often deployed to implement these principles.

By analysing the responses and allocating them to the appropriate attributes in Figure 7, we should understand better the extent to which the APRM constituency or countries including experts may engage with these principles. The focus group of a sample of experts was consulted to test the extent to which they are aware of the UN-CEPA principles and how these are known and understood through practice. In short, it is about whether or not the UN-CEPA principles form the knowledge base of Africa's political and institutional management. If not, why not? The logical question, either way, is about what needs to be done to systematically employ these principles in modernising, restructuring, and reconstructing Africa's public administration infrastructure. In this regard, the chapter will specifically:

a) Reveal the extent to which the UN-CEPA principles are of use to the APRM mandate. This is as far as the monitoring of the Implementation of Agenda 2030 and Agenda 2063 The Africa we Want[50] is concerned.

b) Draw insights on the measurability of the principles and what should be done about them, and;

c) What relationship/impact exists, if at all, between COVID-19 and UN-CEPA principles? In this regard, we will explore the effects of COVID-19 on the principles and the strategies. This is with specific reference to threats and opportunities that COVID-19 comes with, as well as positions of relative strengths and weaknesses that countries are in.

The eleven principles have sixty-two commonly used strategies, and all these are mapped against a framework of three categories as shown earlier and now mapped in Figure 8 and Figure 9 below, respectively.

50 Chapter 3: Understanding the Principles of UN-CEPA

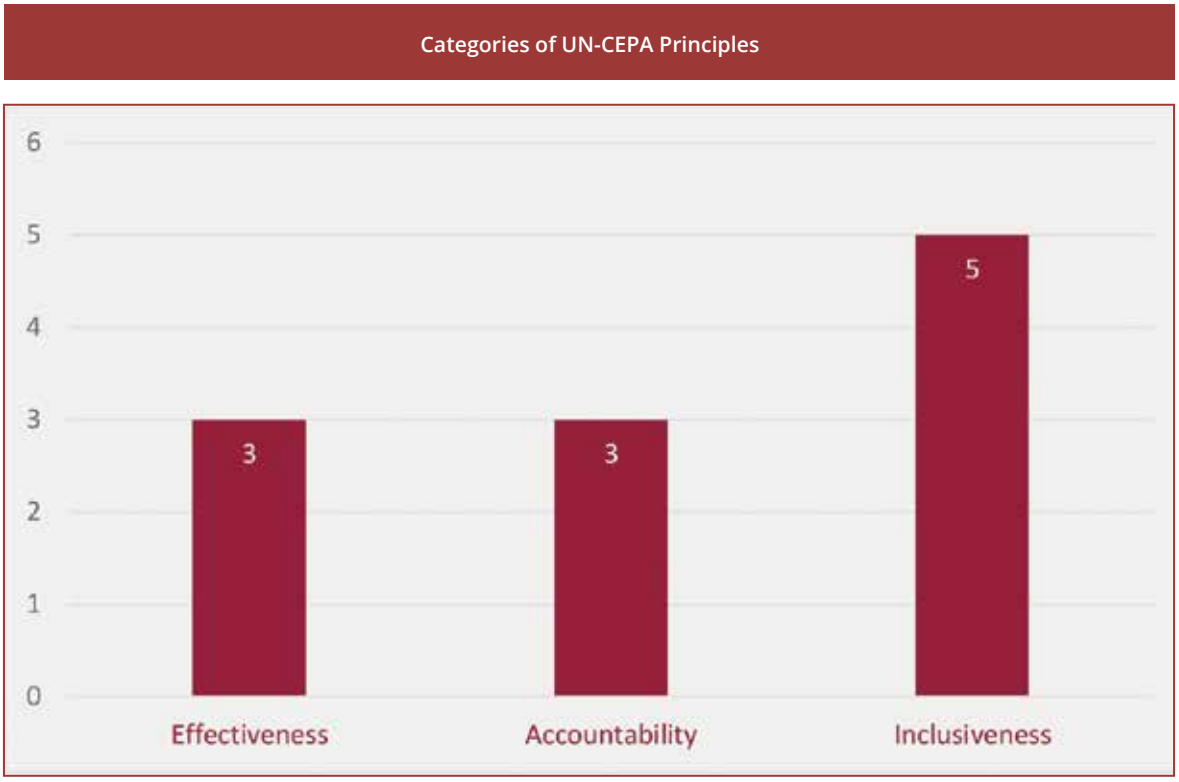


Figure 8: Categories of UN-CEPA Principles

These are further broken down into sixty-two strategies that fit into the principles of:

First, Effectiveness which include the principles of Competence, Sound Policymaking, and Collaboration. Second, under Accountability are principles of Integrity, Transparency, and Independent Oversight. Third and last, Inclusiveness, which speaks to the principles of Leaving No one Behind, Non-discrimination, Participation, Subsidiarity, and Intergenerational Equity. The 11 principles include 62 strategies, and these are mapped graphically below, showing how many strategies fall under each principle.

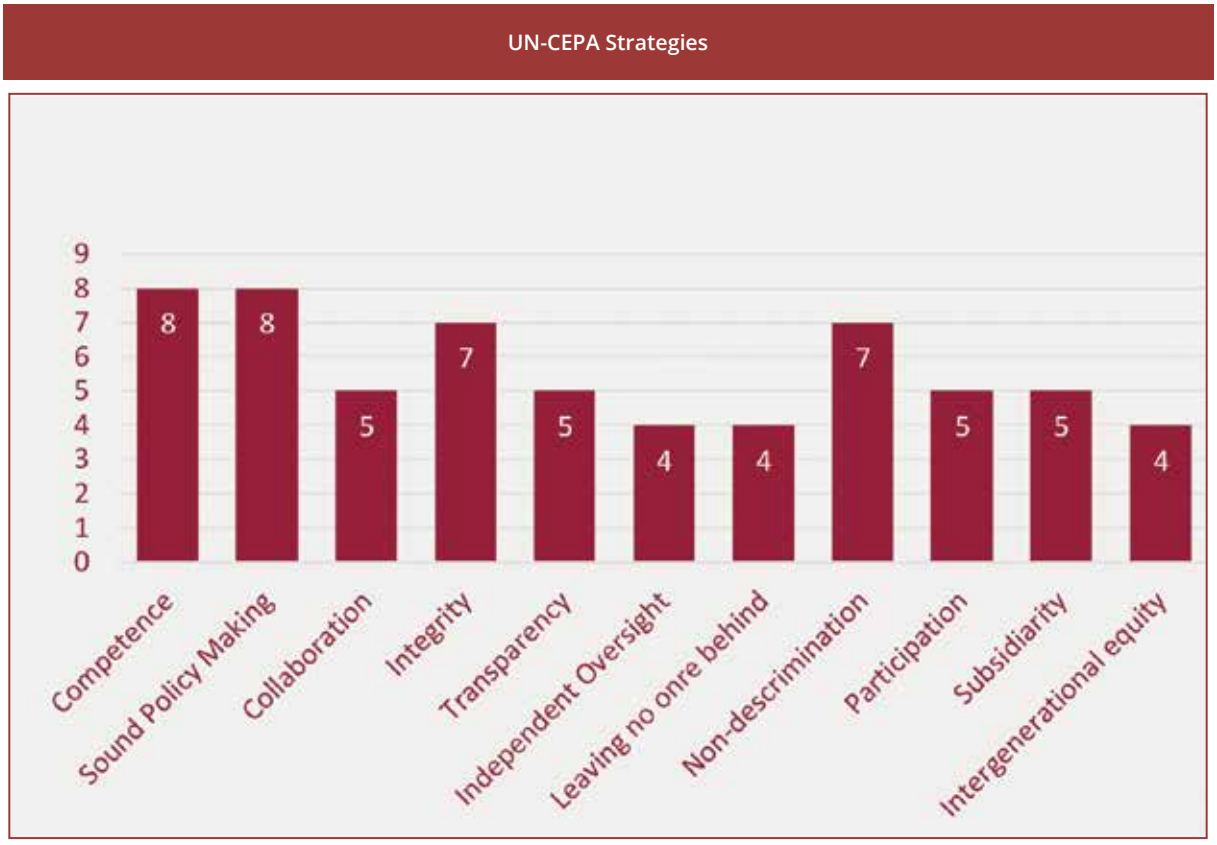


Figure 9: UN-CEPA Strategies

4.4 Purpose of the APRM Survey on the CEPA Principles in Africa

The purpose of the survey is to first assess the level of awareness that countries have regarding the UN-CEPA principles. Second, it explores the respondents' depth of knowledge and the extent of their understanding of these principles. Third, it seeks to figure out how the countries apply these principles according to national jurisdictions and institutional functions. Fourth, how the principles are affected by COVID-19 and which opportunities/or threats the pandemic offers as lessons to learn.

More specifically, the study aimed:

a) To make an African experience emerge out of the selected countries in order to secure their state of readiness, as well as the level of understanding of African governments on how to apply these UN-CEPA principles,

b) To shed light on how resilient, inclusive, and accountable African public institutions are, and share best institutional practices between AU Member-States; and

c) To reflect on how African governments are adopting these principles to mitigate global challenges, survive their impacts by identifying and exploiting opportunities and by looking ahead and thriving through effective implementation of these UN-CEPA principles in the context of COVID-19.

d) To recommend to African governments steps necessary to take in order to translate the UN-CEPA principles into concrete actions.

The UN-CEPA Study has far-reaching strategic implications for ten identified outputs (outlined below), drawing from the initial analysis that led to the proposal for the study[51]. The implications of the findings and how they could be treated are discussed under the conclusions of this section as to how they could be treated. There are ten areas that were identified as Outputs 1 to 10. From each output there are Strategic Transformation Programmes, Sound Policy Making and Statistical Development implications. Under conclusions we explore the implications of the study findings on Output 1. Below we provide the list of output areas the study would set in motion.

a) **Output 1:** Framework for evaluating the implementation of the 11 UN-CEPA p **Source** rinciples in a selected number of African countries.

b) **Output 2**: Data consolidation and analysis for the 11 UN-CEPA principles baseline study

c) **Output 3:** Coherence and data validity for the APRM baseline study on the implementation of the 11 UN-CEPA principles.

d) **Output 4:** Presentation on critical analysis of Africa Governance-related statistical and informational architecture, prospects, gaps and challenges.

e) **Output 5:** Strategy and action of a programme targeting the role the APRM should play in the AfCFTA and what informational resources it should harvest.

f) **Output 6:** Agenda for harvesting the governance indicators in Africa.

g) **Output 7:** Model-based planning to underpin Africa's forward-looking agenda against which the APRM can measure progress

h) **Output 8:** Political discussions and penetration of the APRM Governance Index including the Framework

i) **Output 9:** Political discussion of the harmonisation of the APRM Governance Indicators with other stakeholders

j) **Output 10:** Strategy for the Harmonisation of Statistics in Africa (SHaSA) and Praia Group

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51 Areas of Work for Implementing the Principles, Pali Lehohla (May 2020)

4.5 Scope of the Survey

The survey was purposive for national experts from selected AU countries. Responses were received from thirteen of these targeted countries. The survey sought expert opinion on the research questions mentioned. The study assumed and adopted a key informant approach to soliciting responses. The plan was to interview five categories of stakeholders in countries. These were: a government entity, preferably a planning ministry, an NGO, a civil society entity, an academic institution, and a private sector association or organization. The intention was to have at least one respondent in each country from each category. Our expectation was, therefore, to have a minimum of sixty-five respondents. Twenty-six returns were received from the ten countries on the original list that responded, and three more countries were not on the list that responded. These are: Egypt, Ghana, Kenya, Liberia, Nigeria, Rwanda, Senegal, Morocco, South Africa, Sudan, Tunisia, and Uganda.

Two countries were close to meeting the five-questionnaire minimum requirement. These were Uganda and Tunisia, while South Africa completed three returns. The rest of the countries submitted one or two questionnaires each. While the response rate fell short of our expectations which was a minimum of six questions per country, a closer look at the data remains insightful, and the questions asked do shed light. The main reason for the data remaining useful is in the survey methodology, mainly purposive, soliciting expert opinion.

4.6 Survey instruments

The questionnaire consisted of five substantive sections to which responses were solicited. There was one more section, and this covered guidelines for filling in the questionnaire[52]. The APRM Survey covers the following sections:

a. Background and justification

It is the section we have just covered. It provides background and justification for the study, including guidelines, and other documents providing information for completing the survey. An online document was provided to give the rationale for the study, on who should fill in the questionnaire and how the questionnaire should be filled. This part of the instrument included the contact details of the recipient of returns.

b. Demographic information

In this part of the questionnaire, names, age, sex, employer, qualifications and years of experience were secured. The names will be removed from the analysis. They were important for purposes of securing appointments and discussing progress on the survey.

c. Awareness of the UN-CEPA Principles and Strategies

The question that would elicit a response on whether or not the respondent is aware of the principles was a straight yes or no question. It foregrounds the analysis and should provide strategic interventions. The yes or no answer should reveal the understanding or otherwise the level at which the country is, what practices in as far as public administration it deploys.

d. Knowledge, Understanding and Practices of the UN-CEPA Principles and Strategies

The section covered six questions and addresses the ambition of UN-CEPA principles and strategies to join the indicator framework of the SDGs. For the principles to meet the rigorous requirements and be espoused by

52 Full APRM survey on CEPA principles is attached as an Annex.

the Statistics Commission, there has to be a methodology for understanding why the principles are important, identifying them in the statistics system of statistical items, classifications and indicators. There has to be evidence of plausible practices and implementation of the principles. The questions tested the level of knowledge and understanding of respondents on the basis of how well they classified first, the 11 principles across the three categories of effectiveness, accountability and inclusivity, and second, how the 62 strategies are classified under the 11 principles.

e. **Challenges of Implementation of the CEPA Principles and Strategies**

Equally, practice is important to the United Nations Statistics Commission. For them to adopt the UN-CEPA principles as a statistical standard for indicators of the SDGs they have to test this on methodology, data availability and measurement practices. The extent to which principles and strategies are applied and what challenges of implementation might be visible or inferred, is the objective of this section.

f. **The Application of CEPA Principles within COVID-19 Pandemic and countries experiences with mitigation measures**

The survey being undertaken amid COVID-19, it tried and found out the opportunities and threats to the strategies of the UN-CEPA. Furthermore, what weaknesses and strengths have countries displayed in as far as these strategies were implemented. The last section summarises country experiences on how they have dealt with COVID-19 and sets the tone for a separate chapter dealing with country case studies.

g. **Conclusions and Recommendations**

This section pulls the observations made together, conclude and issue recommendations around three categories: Strategic Projects, Sound Policymaking Projects, and Statistical Developments Projects.

4.7 Background and Justification

4.7.1 Validation of the Survey Instrument

The survey instrument was discussed and validated through a round of consultations, including the apex body of the APRM and the SDGC/A. The survey was shared on the APRM online platform. It consisted of eighteen main questions of varying detail covered in sub-questions. The survey questionnaire has been processed using SPSS, and the results are presented as descriptive statistics using charts generated both in SPSS and using Excel sheets. Completion of the survey was about an hour.

4.7.2 Audience and study limitations

The baseline study report is expected to be presented to the APR Committee of Focal Points and the AGA for validation by the first quarter of 2021. The final report will be presented to APR Committee of Focal Points and launched during the 2021 CEPA annual session. The study adopted a key informant approach design. This envisaged involving 17 countries and reaching at least five respondents per country. Overall, then, the number of respondents would be 85. However, 13 countries ultimately responded with an average of 2 responses per country. The final number of respondents was thus 26, which is much lower than the target. Being that as it may, given that this was a key informant study, the information garnered from the respondents has served the purpose as planned.

4.7.3 Results

The results of the survey are divided into four areas. These are respondents' demographics, their level of awareness, knowledge, understanding, and application of the UN-CEPA principles in policy work. In the context of COVID-19, the study explored the extent of impacts on the 62 strategies adopted for the UN-CEPA principles. The Report will present a select few of the tables, but a full statistical table will be delivered separately. Since the cases are few, the use of percentages and graphs run the risk of eluding the true nature of what is presented. As a result, we prefer to show raw numbers to accompany any graph. But to retain some elegance we shall present graphs.

4.8 Outcomes of the APRM Survey

4.8.1 Demographic Information

There were 26 respondents interviewed. Five of these responded in French and 21 in English. In terms of the gender breakdown, there were 18 male and 7 female respondents. 1 respondent did not state his/her gender. In terms of percentage, almost 70% of the respondents were male, and 30% were female. The absolute numbers are reflected in Figure 10 below. This is not surprising given the predominance of males in both formal private and public economic structures in Africa. To date, Africa has only had nine female presidents in its more than half a century of independence.

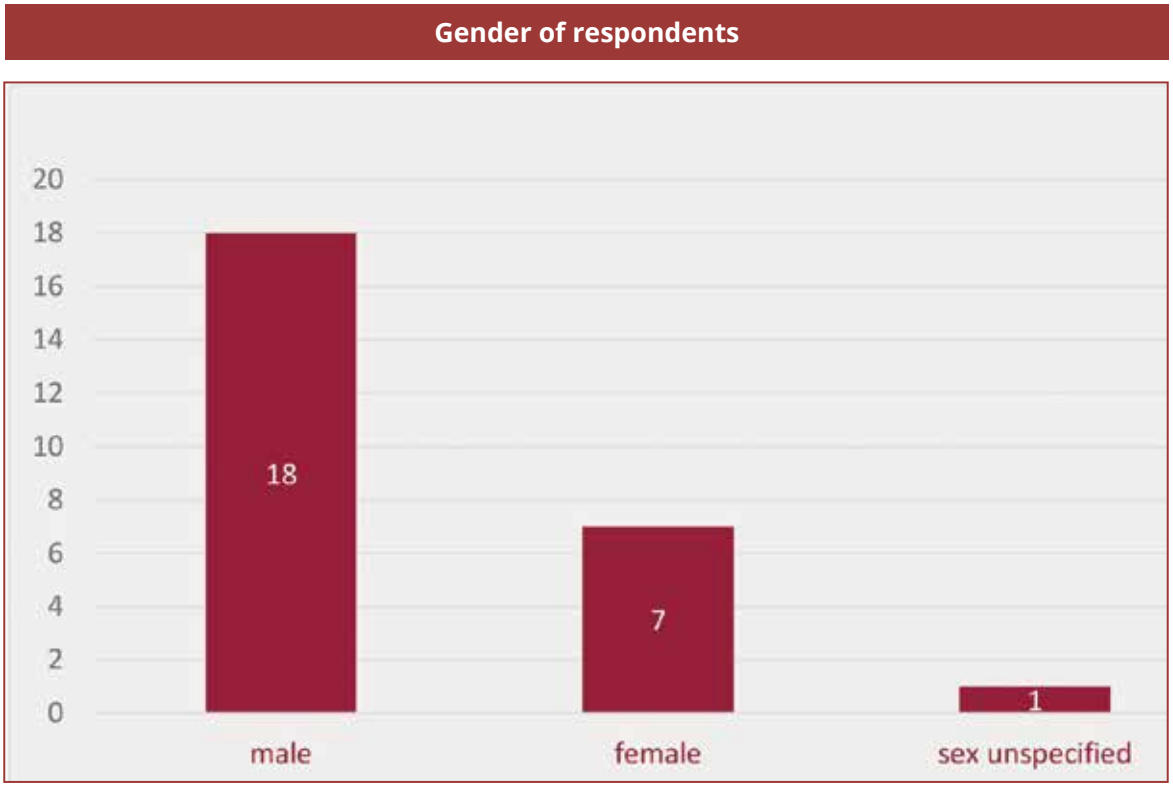


Figure 10: Gender of respondents

The age distribution in Figure 11 shows that about less than half of the respondents are under 40 years of age. While those in the 40-49 year of age bracket and above constitute about 81% in absolute numbers, 18 respondents are above 40 years, and 5 are below this age. The age of 1 respondent could not be determined. Figure 11 shows the age distribution of respondents. The dominance of mature adults among the respondents involved in the study is attributed to the fact that the study was targeting already established and experienced experts.

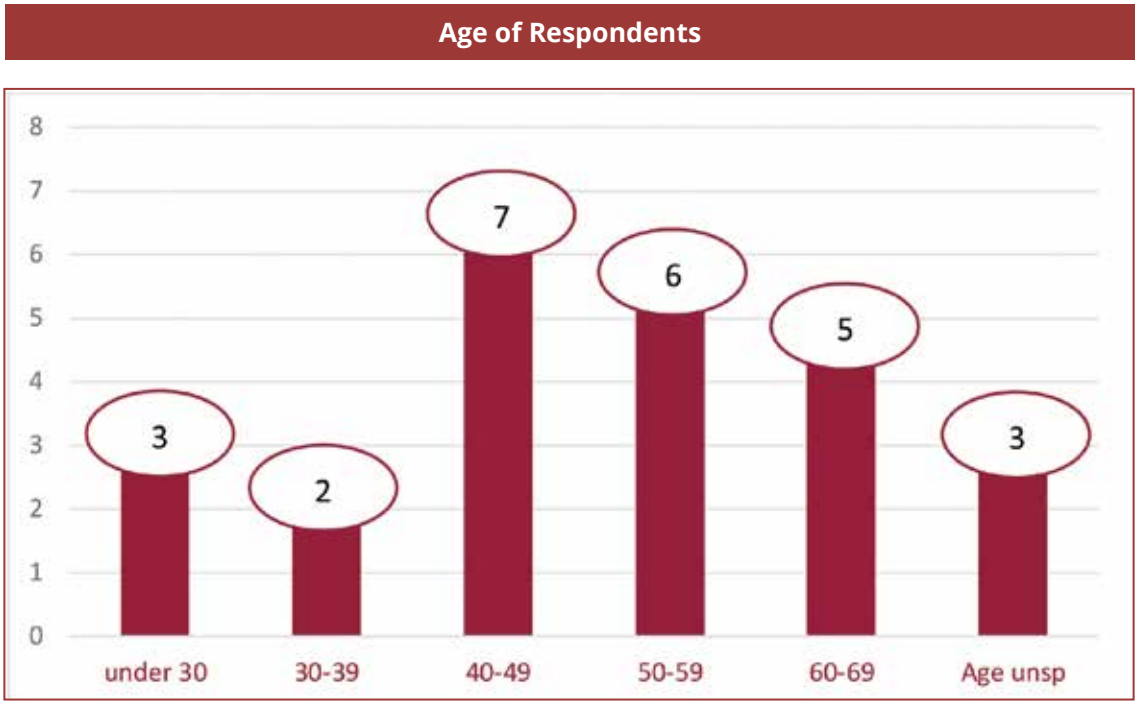


Figure 11: Age of respondents

Figure 12 shows that by sector, half of the respondents are from the public sector. 12% each were in the NGO and civil society sectors, whilst 23% were in academia. Despite the number of respondents interviewed being very few, they spread across sectors and their experience as reflected in the table on experience provides important insights that were expected.

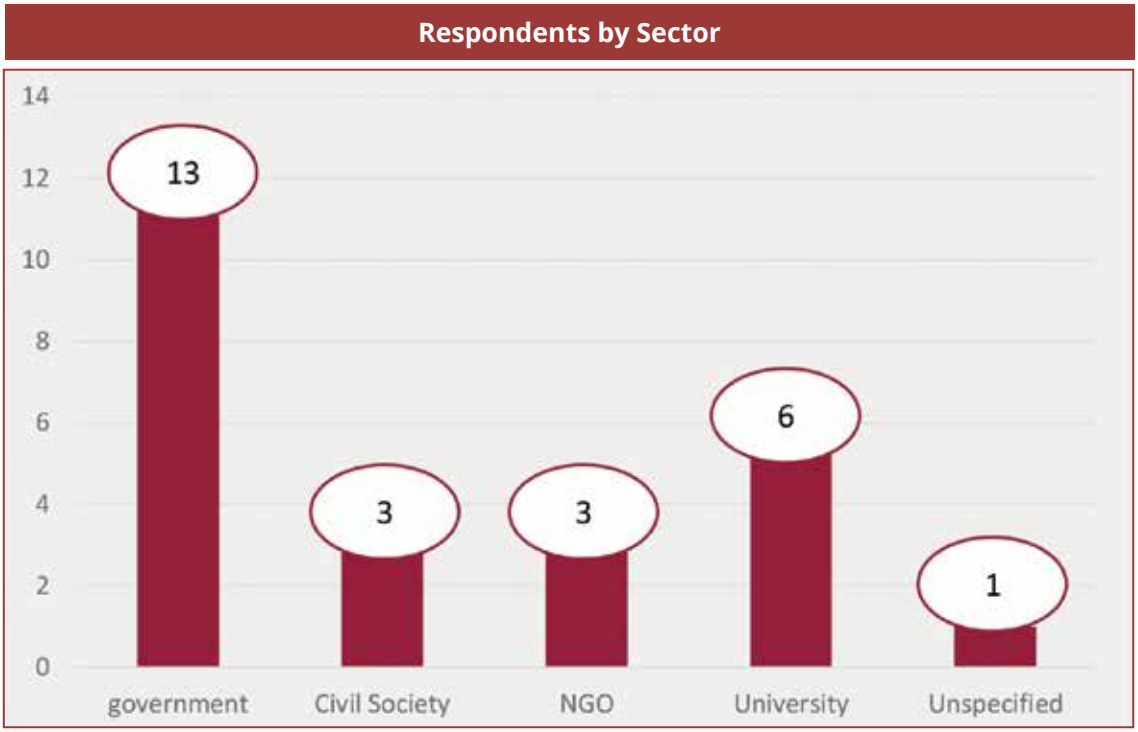


Figure 12: Respondents by Sector

The experts interviewed hold either senior positions in their offices or are professors at the institutions that employ them. It is thus clear that the assumption that they hold expert opinion is a reasonable and convincing one.

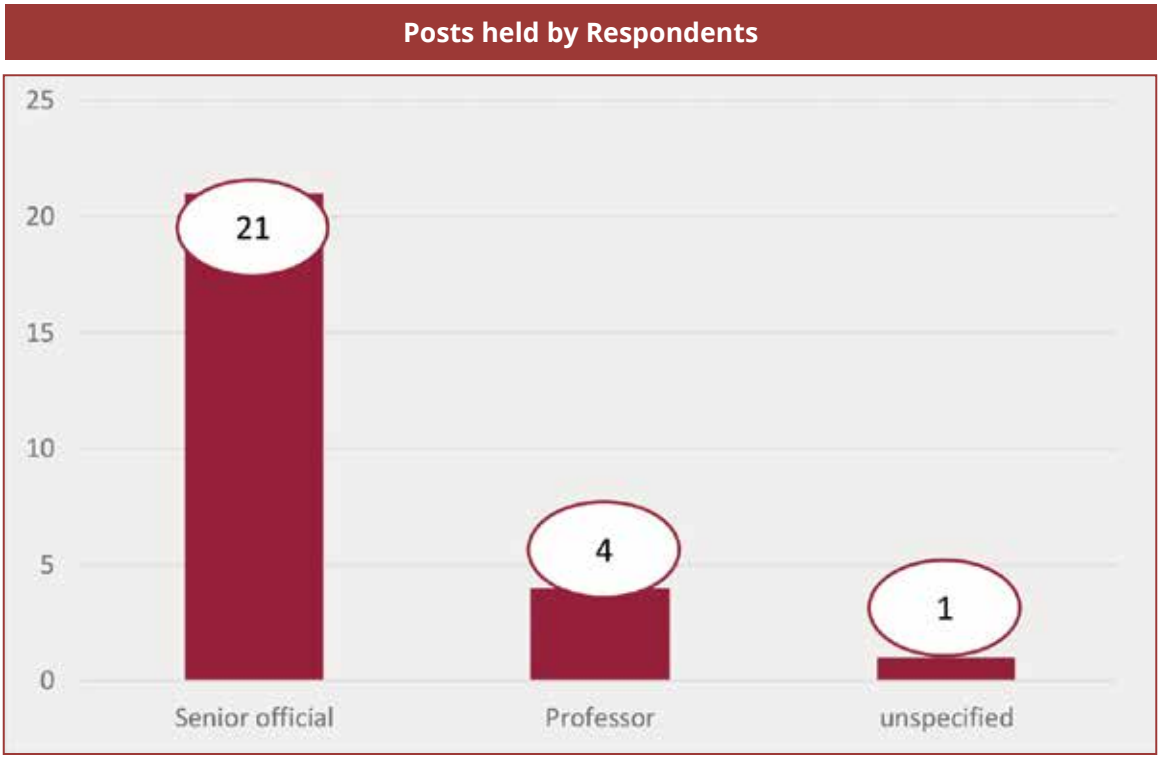


Figure 13: Posts held by respondents

Figure 14 below gives an indication of what experience the respondents have had in their respective area of work. Almost 80% of the respondents have more than 11 years of work experience. Almost 42% have more than 20 years of experience. 23% have 10 years or less of experience. It can be concluded that given their expertise and work experience, the results of the expert opinion are very relevant to the subject at hand and can be relied upon to shed light on the extent to which respondents are aware of the UN-CEPA principles and their knowledge and understanding, including application, of these principles. Tables 5 to 8 provide a level of comfort for us to proceed and give substantive results on the research question despite our reservation about the intended size of respondents and returns obtained in the study.

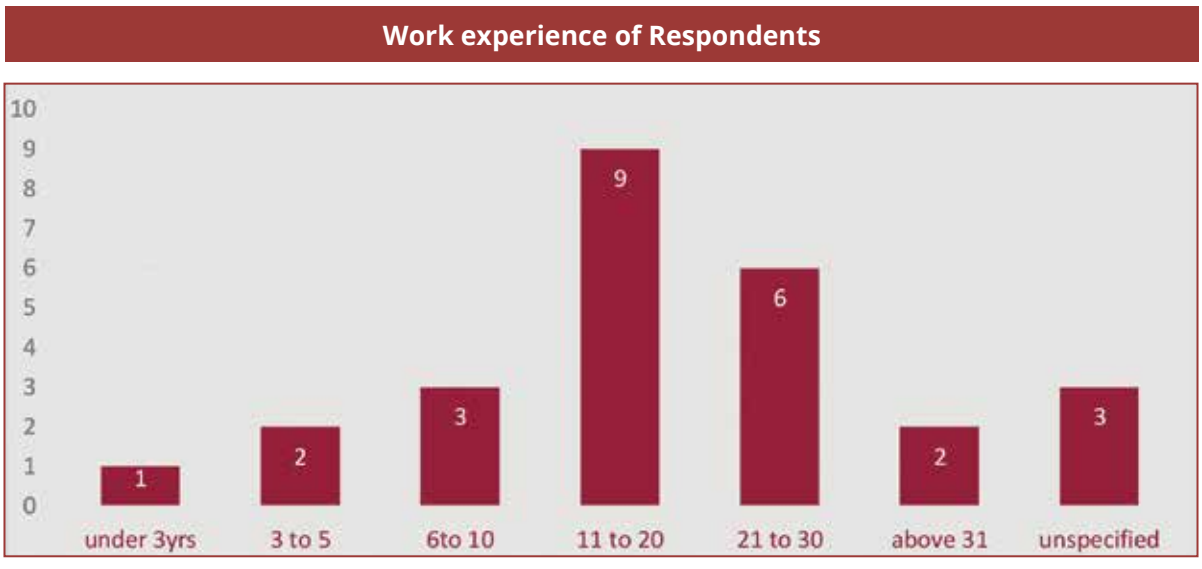


Figure 14: Work experience of respondents

In a way the results provide what a focus group study would have also provided. This is namely that the key issues upon which expanded studies and interventions can be based are not surprising, as will be revealed in subsequent parts of the Report which cover the principles and strategies.

Figure 15 shows the responses from 13 of the 17 countries targeted for answering the questions. As pointed out earlier, Uganda and Senegal almost met the minimum requirement of five responses, returning four questionnaires each, followed by South Africa with three returns. The rest provided one or two questions each.

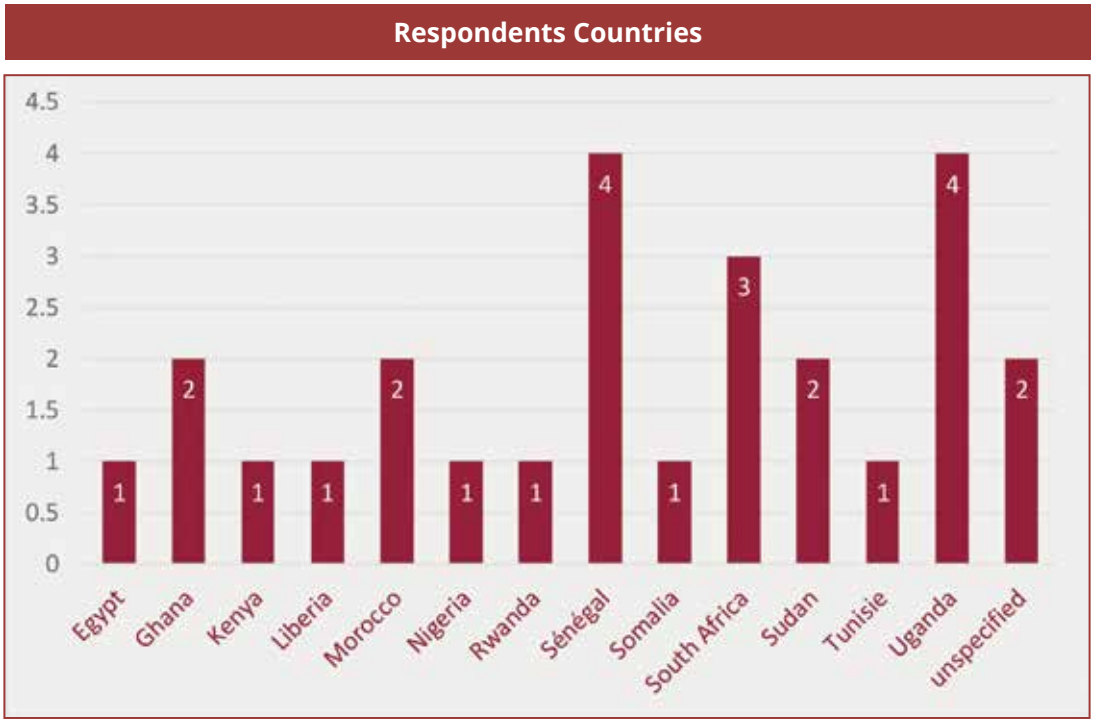


Figure 15: Respondents' countries

Information emanating from this section on demographics shows that females have been grossly underrepresented as respondents. The age of respondents, the portfolio they hold in society, the diverse organs where they work, the country representation and their experience provide comfort that they will contribute credible knowledge which will serve as a lever to implement the recommendations. However, the Report notes that numerically, the respondents fell far short of the targeted number. However, since this was a key informant-based survey, small numbers do deliver core insights.

4.9 Assessment of awareness of the UN-CEPA principles

We learn from the UN Statistics Commission that standards and standardisation matter. These notions are contained in the UN Fundamental Principles of Official Statistics. It is important that we take note a prospective standard to which the UN-CEPA principles may aspire. Therefore, by way of introduction to the core questions of the survey, we need to outline that the concept of standardisation is crucial. Standardisation is a driver of compliance across the board. This is in respect of both use and reuse principle. But significantly, standardisation pushes the frontiers of bringing processes to scale and institutionalises practices. In this regard, for the UN-CEPA principles to be useful in governance, those who use them should be immersed in their methodology. Classification is a standard practice in terms of standards, definitions, and applications. Therefore, the essence of the survey is to test the extent to which the respondents who hold an expert opinion, are assumed as already

indicated, to be proficient in the applicable standards and classifications of the UN-CEPA principles. Moreover, we explore the respondents' levels of awareness, knowledge, understanding, and applications of these principles including the context of COVID-19. Therefore, our lens will focus on how aligned expert opinion is to the standards and classifications of the UN-CEPA principles. Divergence of responses will point to the nature of interventions required. First, we interrogate awareness of the principles.

Figure 16 discusses the level of awareness of the UN-CEPA principles on the question of whether countries are aware of the UN-CEPA principles. In this regard, in all 11 principles, almost all the 6 female respondents confirmed that they were aware of these 11 principles. Only in 2 instances was one female in each case not aware of the principles. Overall, 89.5% of responses confirmed that they are aware of the principles. 5 respondents did not.

Figure 16 shows that the principles which are the most known are: **Integrity, Collaboration, Non-Discrimination and Transparency**. For each of the four principles referred to, 20 out of the 26 respondents had confirmed that they are aware of these principles. The responses are summed up in Table 5. It shows frequencies of awareness of the UN-CEPA Principles. Almost 90% of all responses (Table 5), confirm that the respondents are aware of the UN-CEPA principles. This high figure of awareness confirms that the selected group is a competent informant one.

Awareness of the UN-CEPA principles by gender

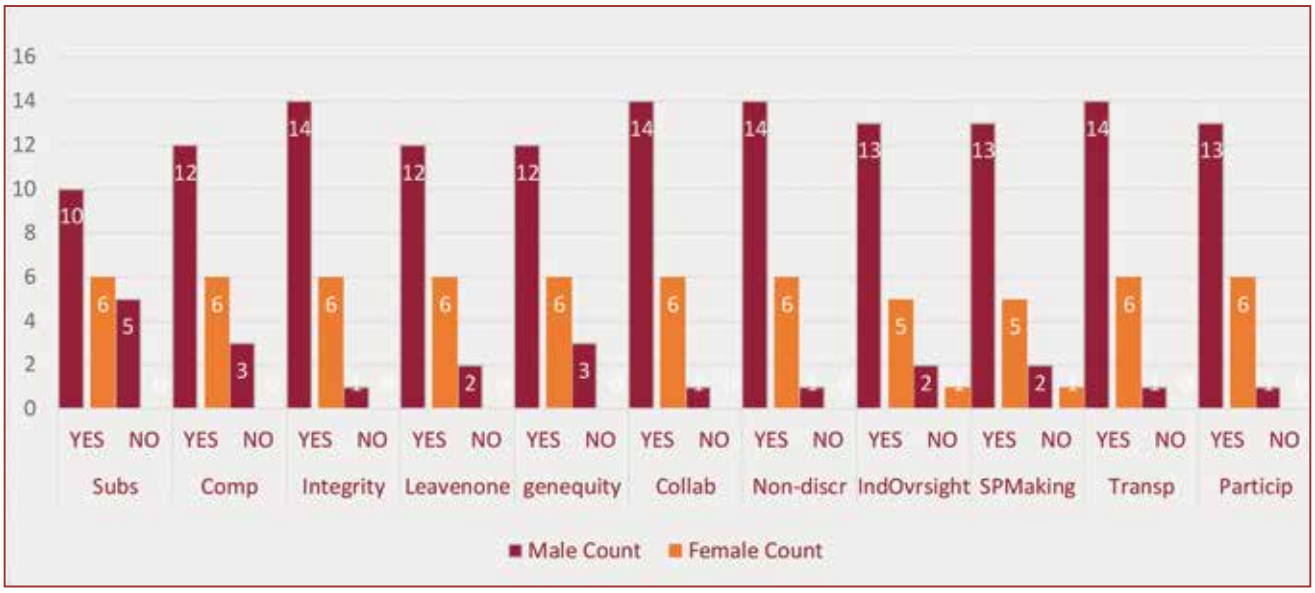


Figure 16: Awareness of the UN-CEPA principles by gender

The range for male respondents who claimed to be aware of some of the principles was from a minimum of 10 to a maximum of 14. By principle, the Report observes that as many as 10 respondents were not aware of some of the principles, and as few as 6 respondents were not aware of some of these principles.

Table 5: Frequencies of Awareness of UN-CEPA Principles

		Responses	
		N	Percent
Percentage Aware	YES	205	89.5%
	NO	24	10.5%

Key messages and observations of Section three

These are 2 observations and 1 recommendation:

(i) Raising awareness of CEPA principles, among national experts concerned about SDGs domestication and implementation is necessary. If out of the 26 experts and key informants, 5 were unable to venture an opinion on awareness of the UN-CEPA principles, this begs the question of how non-expert practitioners in public administration cope with the familiarity, will and demands of UN-CEPA principles.

(ii) However, based on the responses, the Report identified and confirmed through the UN-CEPA and APRM programme that the challenges relating to the implementation of SDGs and Agenda 2063 have answers buried in the UN-CEPA principles. For instance, the concepts of living no one behind and sound policymaking are central to assessment indicators but also to the implementation of both SDGs and APRM processes.

(iii) The conclusion we draw directs us to apprise those who are dealing with SDGs and Agenda 2063 of the UN-CEPA principles and teach them how they can apply these methodically.

4.10 Knowledge, understanding and practices of the UN-CEPA Principles and Strategies

To comprehend how well the respondents know and understand the principles, the Report uses 3 sources of information. First, how well do the responses correspond to the norm as provided by the UN-CEPA principles, first as to how the principles fit into the categories and second how the strategies fit into the principles as set out by UN-CEPA. The most important part is how many responded to these two key questions.

Classification of the UN-CEPA principles was introduced in Figure 7. The figure shows that the principles are classified under 3 categories of effectiveness, accountability, and inclusivity. To test the knowledge of respondents regarding this, we asked them to place each of the principles under its appropriate category.

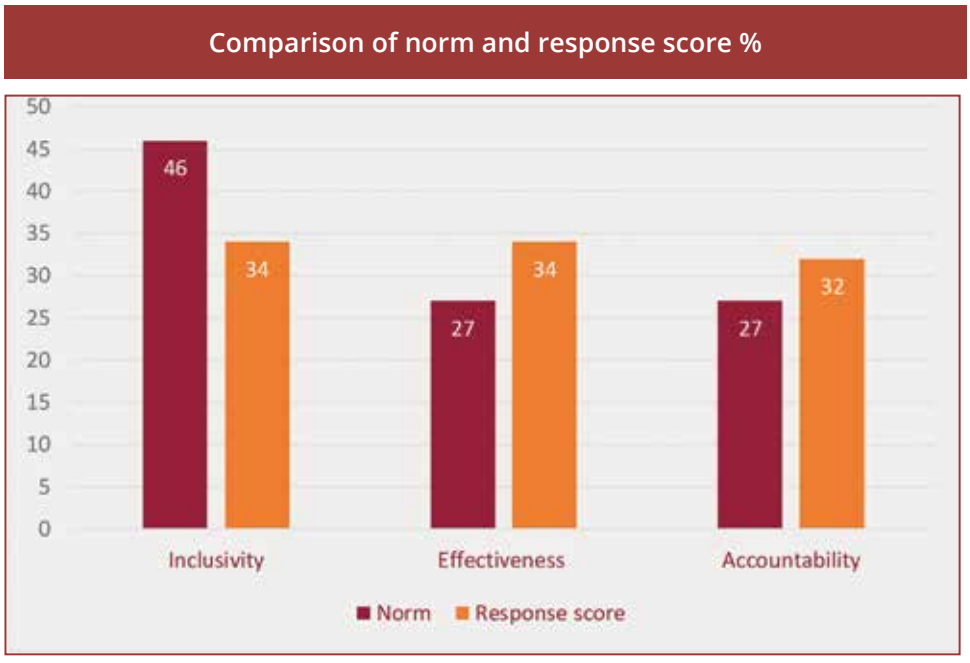


Figure 17: Comparison of responses from the norm

Why is this important? In the world of statistics, consistency is crucial, and to achieve consistency a set of standards are defined. Such standards are maintained through consistent classifications. It is in this regard that the study sought to find out the capability of the respondents to classify these principles. Figure 17 explores the extent of knowledge of the UN-CEPA principles based on how they manifest across the three categories of effectiveness, accountability, and inclusivity.

It is not surprising that the degree of knowing the principles shows discrepancies from the norm as observed in Figure 17. The importance of this difference relates to the challenge of and the need for standardisation and scaling up. For that to happen, there has to be an agreement on standards, especially if the UN-CEPA principles have to be a statistical standard. The area of difference has to be minimised even when country specificities are important to take into account. Through the test of classifying the principles, the Report notes that the variance ranges from 15% to 25%, and the average is 22%. This difference is not trivial. In fact, it is too big and represents a challenge that has to be confronted in order for countries to progressively move towards the norm. As already seen from the level of awareness, the UN-CEPA principles are core to the implementation of SDGs and Agenda 2063. That being so, an immersion of public service administrators is a necessary step for the achievement of both SDGs and Agenda 2063. The knowledge deficits have to be addressed for these SDGs/Agenda 2063 aspirations to be achieved.

Furthermore, Table 6 shows that of the 26 people who were identified as respondents, the attempt to fit subsidiarity into one of the three broad categories was correctly done by eight respondents, which represents a 31% match rate. However, it is also true that Transparency attracted as many as 19 correct responses representing 73%, which is an impressively high score of matching. Translating our observations from the results on awareness to knowledge, there is a declining gradient from levels of awareness. The minimum score came out at 61% and the maximum at 77%, compared to a minimum score of 31%, and a maximum of 73% respectively, as shown in Table 6.

Table 6: Knowledge of UN-CEPA principles by respondents

Principles	Number of responses out of 26	Percentage
Inclusiveness (5)		
Subsidiarity	8	30.8
Leaving no one behind	14	53.8
Non-discrimination	12	46.2
Participation	14	53.8
Inter-generational equity	13	50.0
Effectiveness (3)		
Competence	14	53.8
Collaboration	16	61.5
Sound Policymaking	14	53.8
Accountability (3)		
Integrity	17	65.4
Independent Oversight	14	53.8
Transparency	19	73.1

Figure 18 elaborates on the difference between claiming to be aware and knowing the UN-CEPA principles. Note the orange bars in the chart to follow the discussion. The highest score of awareness and knowledge relates to the pillar of Transparency with 77% and 73%, respectively.

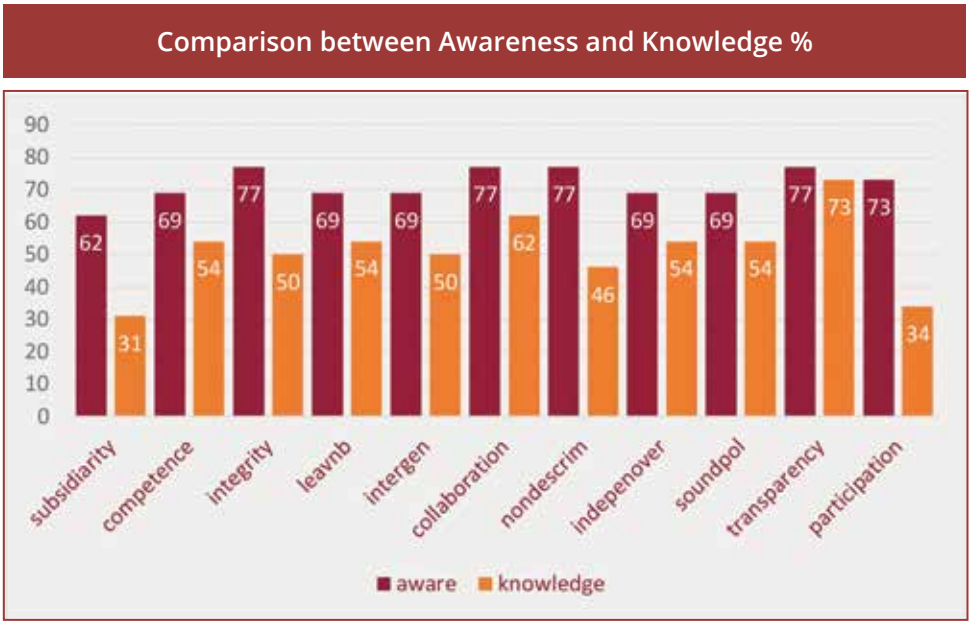


Figure 18: Comparison between awareness and knowledge of the UN-CEPA principles

The scores were classified correctly by 19 respondents. This has been followed by Collaboration at 62% wherein 16 respondents allocated the classification correctly.

In this section, the Report calibrated the extent of awareness and knowledge by seeking how correctly the respondents placed the principles in the 3 categories of Effectiveness, Accountability, and Inclusiveness. The Report observes that while the levels of awareness regarding the principles are high, scoring almost 90%, what is worrisome is the diligence with which the classifications are correctly assigned. Some of the respondents emphasized awareness of principles but did not necessarily categorize them appropriately following the CEPA Secretariat approach. The range of misclassification is from two-thirds to a quarter. This speaks to the challenges of compliance with standards

Key recommendations on the knowledge of CEPA Principles

(i) The UN-CEPA principles are crucial for leading effective, accountable and inclusive public administration. However, the Report observes the vast discrepancy between general awareness and classification into principles, which is the basis for knowing and being competent.

(ii) The Report recommends that the UN-CEPA principles be systematically delivered, not only by orientation and induction of public administration, but to actually introduce the UN-CEPA principles as an indispensable tool of practice and standards in public administration.

(iii) Institutional coherence is required between the CEPA Secretariat, African Missions to the UN, other UN organs like the UNDP, and African organs, for instance the APRM, to disseminate principles at national levels.

4.10.1 Knowledge and understanding of the UN-CEPA principles

The question regarding knowledge and understanding sought to determine how the respondents would allocate the 62 strategies to the 11 principles. The analysis provides three sources of evidence from the survey. The first is Figure 19, which compares the responses on the principles to the norm as classified by the UN-CEPA. The second will be to understand the proportion of those who responded as saying they have an idea of the knowledge base amongst experts. The third will compares responses of awareness, knowledge, and understanding based on the respondents' responses to the survey. First, let us look at Figure 19.

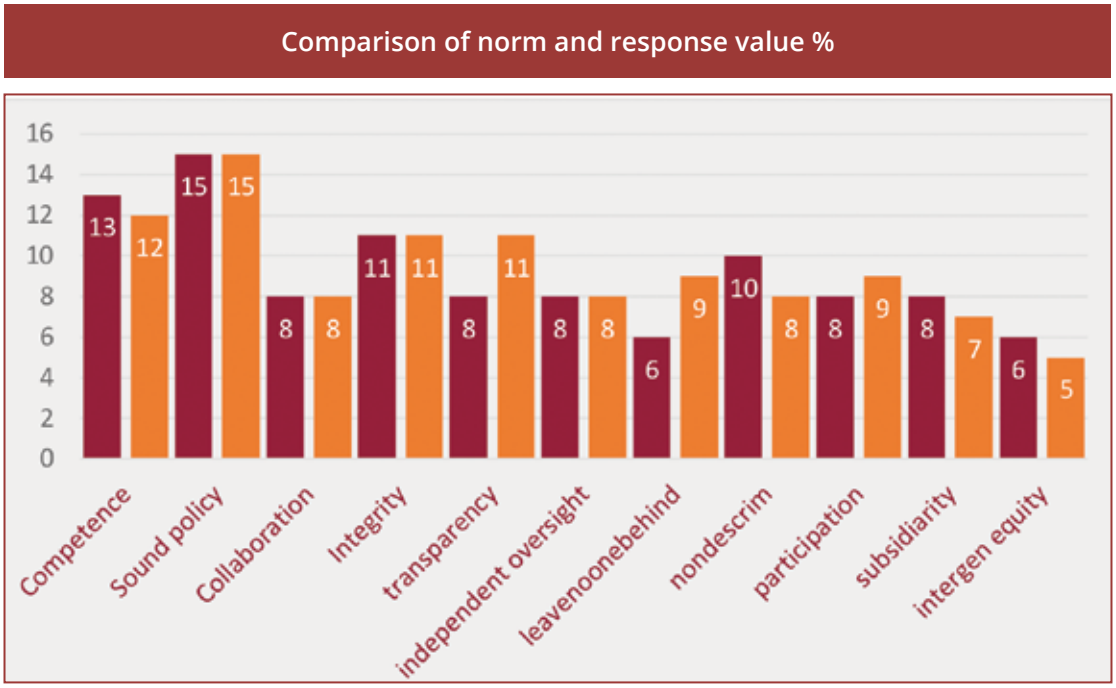


Figure 19: Comparison of norm and response value by UN-CEPA principles

Under 4 of these principles, namely sound policymaking and collaboration, which fall under effectiveness on the one hand, and integrity and independent oversight, which fall under accountability on the other, the Report notes that these responses neatly correspond to the norm. Furthermore, most of the responses differ slightly from the norm. This is somewhat paradoxical, given that a much lighter assignment of fitting eleven principles across the 3 categories of effectiveness, accountability and inclusiveness generated huge discrepancies. This relates to how matching 62 strategies into 11 principles is massively different from fitting 11 principles into 3 categories.

> Matching 62 strategies with 11 principles is very different from fitting just 11 principles into 3 categories.

The Report may now suggest that the respondents do know and understand the UN-CEPA principles, an observation that refutes an earlier observation whereby we compared awareness and knowledge. But this paradox is just but one part of the information. The other part is provided by Table 3 which reflects the number of respondents who answered each of the questions. As few as only 6 respondents addressed the items that are classified under the principle of subsidiarity. This represents for that value, a 23% response rate. The responses in instances also were as high as 19, which is 73%. This is in the case for Transparency.

The survey expanded from the principles to the strategies, and in this regard, it tested the extent to which the respondents knew and understood the strategies. If these were known, each of the strategies would have been classified correctly under the appropriate principle. Figure 20 shows what strategies are encapsulated under which principles. It contributes to explaining the paradox or discrepancy the Report pointed to.

As regards this aspect of allocating the 62 strategies across the 11 principles, the expert opinion ranged from 19.2 % to 50%, as reflected in Table 7. 10 of the strategies were classified correctly by up to 38.5% of the respondents.

Table 7: Further knowledge of the UN-CEPA principles by respondents

Principle	Responses	Percentage	Example of Strategy
Transparency	13 5 UN-CEPA	50	Open government data
Integrity	9 7 UN-CEPA	34	Elimination of bribery and trading in influence
Non-discrimination	10 7 UN-CEPA	38	Prohibition of discrimination in public service delivery
Independent oversight	10 4 UN-CEPA	38.5	Independent audit
Leave no one behind	8 4 UN-CEPA	30.8	Data dis-aggregation
Participation	8 5 UN-CEPA	30.8	Participatory budgeting
Intergenerational equity	5 4 UN-CEPA	19.2	Ecosystem management
Sound policy-making	9 8 UN-CEPA	34.6	Science Policy Interface
Collaboration	8 5 UN-CEPA	30.8	Network-based Governance
Subsidiarity	6 5 UN-CEPA	23.1	Enhancement of local capacity for prevention, adaptation and mitigation of external shocks
Competence	7 8 UN-CEPA	26	Investment in e-government

3 of these were correctly classified by up to 26%, whilst only 1 was correctly classified by 50% of the respondents. Figure 20 is a summative graphic representation of the results, and the scores in percentage terms are provided for first the level of awareness, then the level of knowledge and understanding of principles and finally the level of knowledge and understanding of the 62 strategies. We explore this applying statistical tools that test the hypothesis that the level of awareness, knowledge and understanding of the principles first is high and uniform. The first test compares the mean or average level of each of the observations and we can conclude that these are indeed different. Table 3 shows the results and suggests there is a differentiated complexity across awareness, knowledge and understanding, where understanding is revealed in application. The second test is about how statistically significant is the difference.

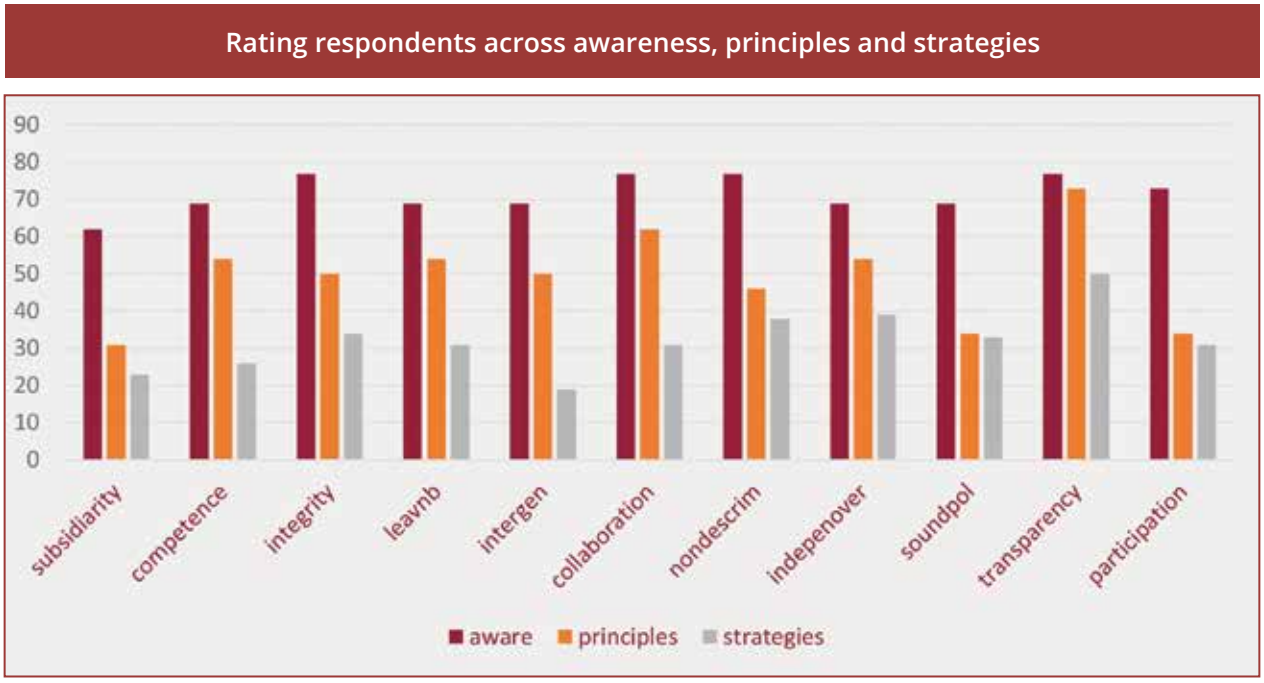


Figure 20: Rating respondents across awareness, principles and strategies

Firstly, we compare awareness and knowledge. The data shows that the difference between the 2 variables is 22.37%, which is almost half the size of the mean for knowledge (49.27%) while the mean for awareness is 71.64%), with a correlation of 0.540. Secondly, we compare knowledge and understanding. The means are 49.27% and 32.27% respectively, with a correlation of 0.519. Finally, we compare awareness and understanding. The results are 71.64% and 32.27% respectively, with a correlation of 0.606. From the point of correlation matrix output, the results suggest a level of association across the 3 variables of awareness, knowledge, and understanding (Table 8). However, when it comes to whether or not the comparison of how well the respondents performed across these variables of awareness, knowledge and understanding, the statistical tests of significance on each of the pairs have returned 0.000, which is lower than 0.05. This implies that the means of the paired observations are statistically different based on the significance test.

Table 8: Testing significance of association amongst awareness, knowledge and understanding

Paired samples statistics

		Mean	N	Std. Deviation	Std. Error Mean
Pair 1	Awareness	71.64	11	4.945	1.491
	Knowledge	49.27	11	12.666	3.819

Paired samples correlations

		N	Correlation	Sig.
Pair 1	Awareness & knowledge	11	.540	.087

Paired samples statistics

		Mean	N	Std. Deviation	Std. Error Mean
Pair 2	Knowledge	49.27	11	12.666	3.819
	Understanding	32.27	11	8.380	2.527

Paired samples correlations

		N	Correlation	Sig.
Pair 2	Knowledge & understanding	11	.519	.102

Paired samples statistics

		Mean	N	Std. Deviation	Std. Error Mean
Pair 3	Awareness	71.64	11	4.945	1.491
	Understanding	32.27	11	8.380	2.527

Paired samples correlations

		N	Correlation	Sig.
Pair 3	Awareness & understanding	11	.606	.048

Table 9 Comparing paired means

Paired samples test									
		Paired differences					t	df	Sig. (2-tailed)
		Mean	Std. deviation	Std. error mean	95% Confidence interval of the difference				
					Lower	Upper			
Pair 1	Awareness – Knowledge	20.545	10.152	3.061	13.725	27.366	6.712	10	.000
Pair 2	Awareness – Understanding	39.182	6.794	2.049	34.617	43.746	19.126	10	.000
Pair 3	Knowledge – Understanding	18.636	9.605	2.896	12.184	25.089	6.435	10	.000

Figure 21 reports on the knowledge and understanding nexus by asking the question which of the principles is the most known and which is the least known. Overall based on a reduced number of cases of 17 out of the 26 possible respondents, 20 percent of the responses to the question were opinions related to the principles being the least known, and 80% were opinions in favour of principles being generally known. As pointed out earlier, the respondents' pool of opinions had shrunk significantly from 26 to 17.

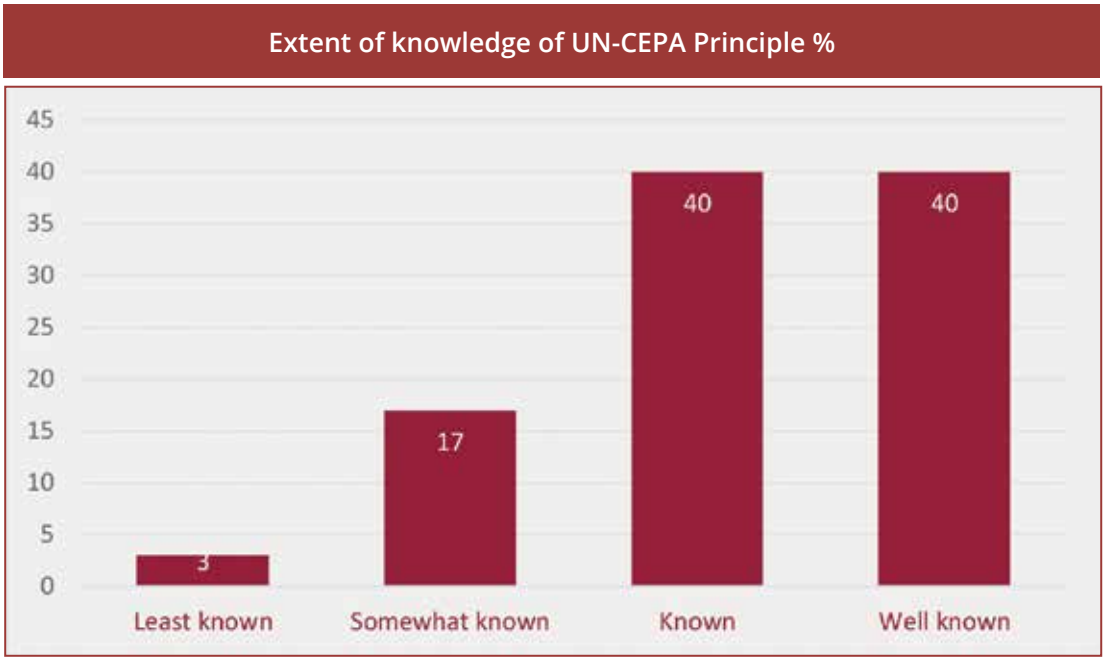


Figure 21: Extent of knowledge of the UN-CEPA principles

Figure 22 is an extract out of 11 tables that reflect the principles and the extent to which they are known. We chose 2 extreme cases which scored highest on least known and most known. The principle of subsidiarity has the highest frequency of being the least known and the principle of collaboration is the most known with 11 of the experts confirming that they know about it; but even then, the most known is represented by a score of 42%. This suggests that the UN-CEPA principles are not that well-known, given that less than half of the experts know them.

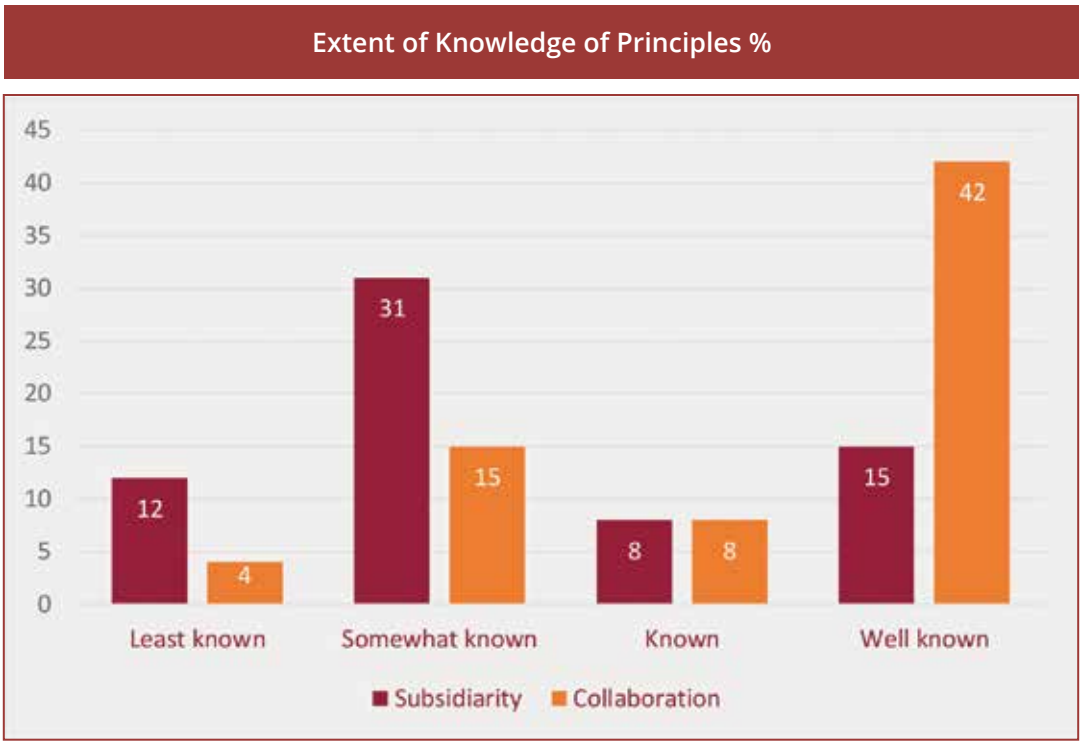


Figure 22: Extent of knowledge of the UN-CEPA Principle (composite percentage)

In Section 5, the case has been built conclusively that knowledge and understanding of the UN-CEPA principles require much more attention. The existence of the UN-CEPA principles is at the level of general knowledge and understanding. For these principles to be effectively implemented, a systematic approach and commitment to them are required. Below we make the following observations and recommendations.

Key messages and recommendations of section five

The discrepancy between awareness, knowledge and understanding of the principles is very vast. The importance of the principles is not in question and the APRM should depend heavily on them. In the light of the above evidence:

a) A manual fostering awareness and understanding of the principles should be developed;

b) In order for the proposed manual to be useful, it should be developed with the Praia City Group on Governance Statistics. This will assist greatly when the principles and their attendant indicators become a recognized indicator set for the SDGs at the UN Statistics Commission; and

c) A pilot training programme on training public administrators on these principles should begin soon.

4.11 Challenges of implementation of the CEPA principles and strategies

4.11.1 Application of the CEPA Strategies in the selected African countries and impact of COVID-19

In the previous 4 sections, we built on a theme that displays information on awareness, knowledge, and understanding. In this section we explore how applied, and applicable the principles and strategies of the UN-CEPA are. We also present the individual strategies and the distribution of their application.

Most and Least applied UN-CEPA Principles in 10 African countries

To shed light on this, Figure 23 reflects the least and most applied UN-CEPA Principles.

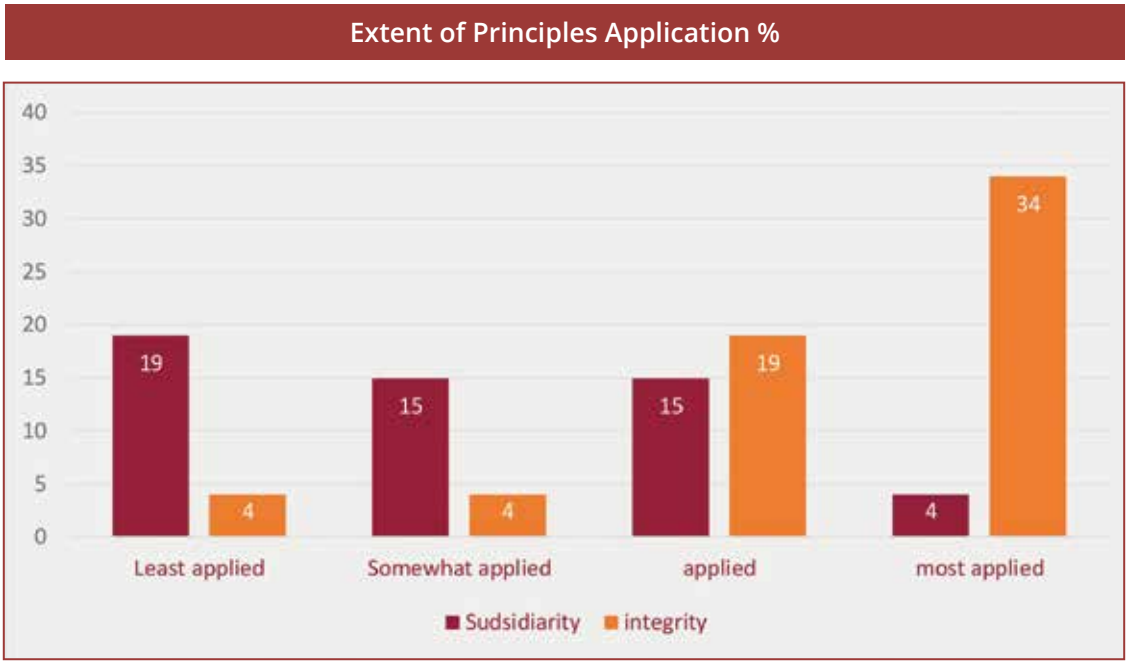


Figure 23: Extent of application of the UN-CEPA principles

The least applied principle is subsidiarity. Not surprisingly as it came out as the least known of the principles. Integrity has scored highest, but it was also high in the most known category. It came third to collaboration with 8 experts, indicating that it is well known. It is therefore not surprising that it ranks high among the most applied principles. However, the converse is true for collaboration as the most applied of the principles, it scored 6 and came out 5th.

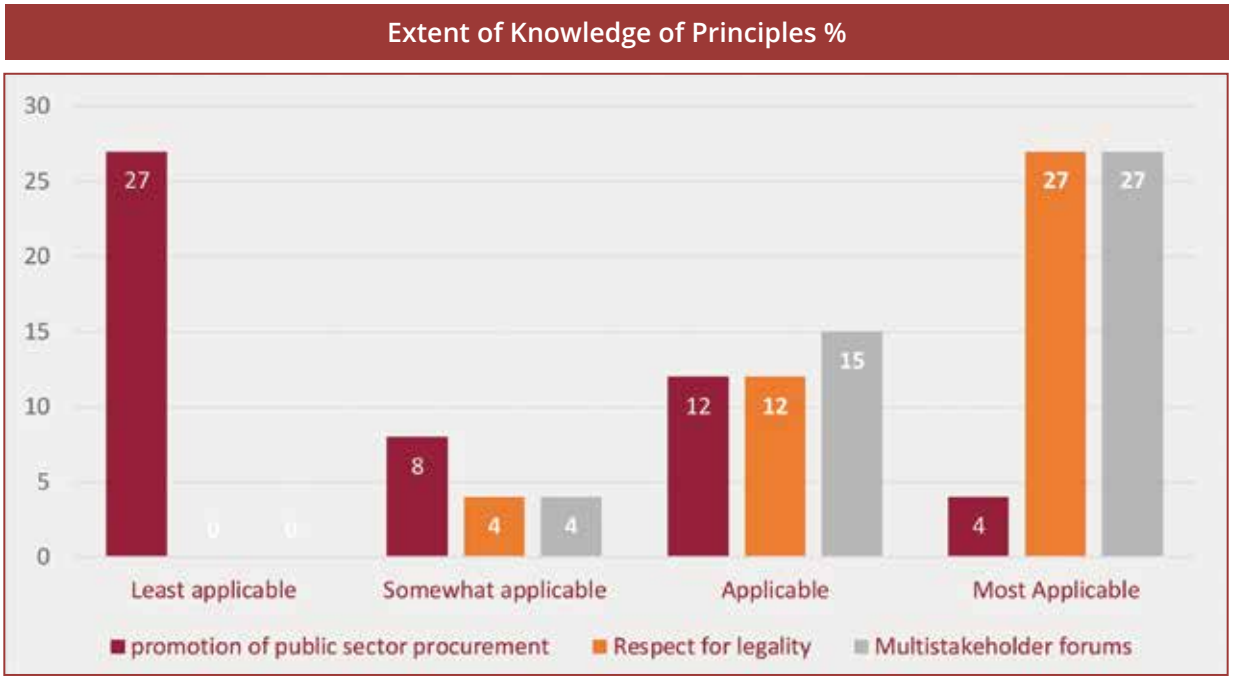


Figure 24: Least and most applicable UN-CEPA strategies

From the principles we now turn to the strategies. There are 62 strategies of the UN-CEPA. Figure 24 sheds light on the most and least applicable strategies.

Perceived inpact of COVID-19 on all the UN-CEPA strategies individually

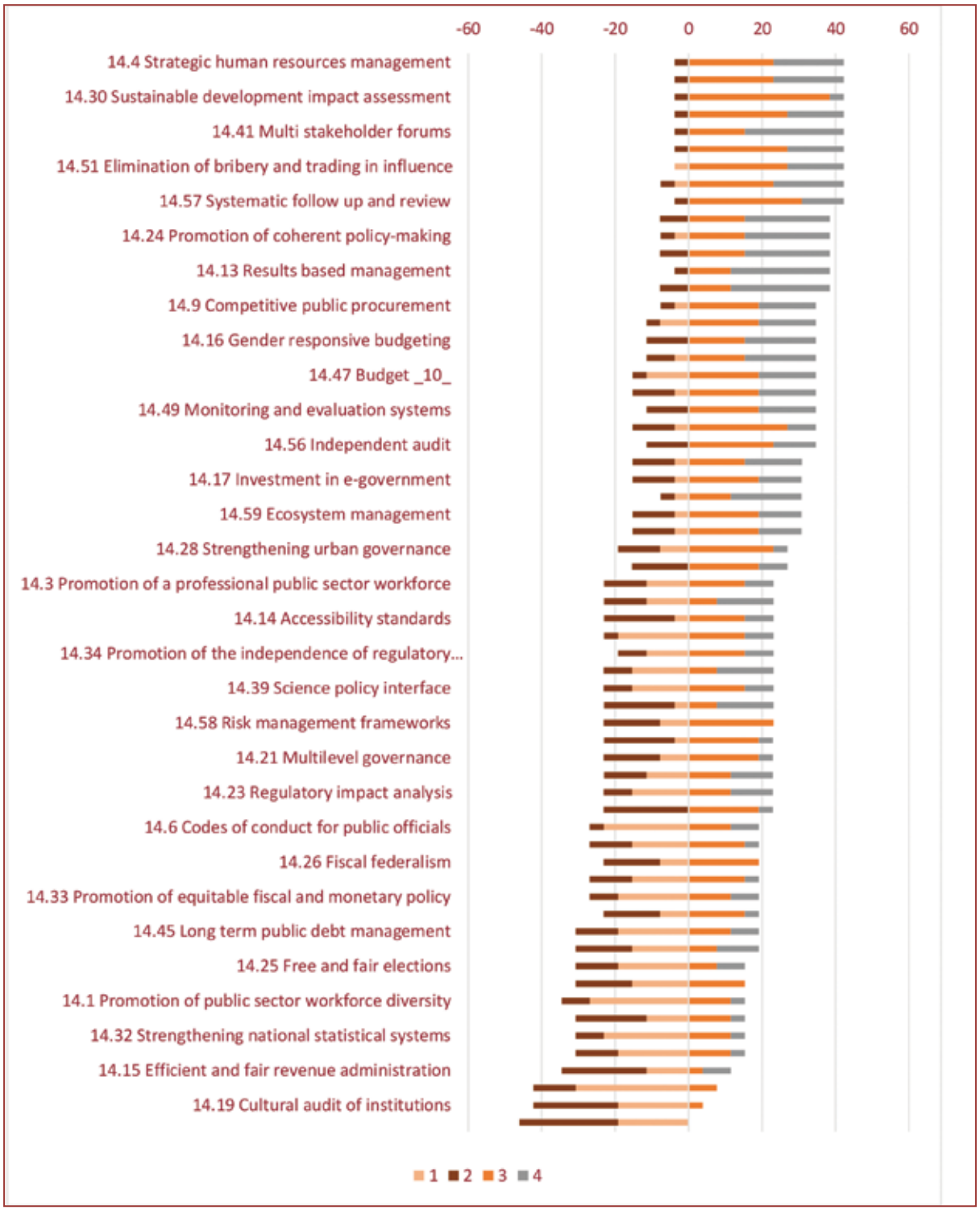


Figure 25: Individual extent to which UN-CEPA strategies are applied (1-least and 4-most applied)

The least applicable strategy is the promotion of public sector diversity. On the other hand, the most applicable strategy has a tie of three: respect for legality, multi-stakeholder forums and results-based management. We also provide a long list of the strategies and their application in Figure 25, which unpacks Figure 23.

4.12 How the principles and strategies apply in the context of the COVID-19 Pandemic

4.12.1 Prioritizing the UN-CEPA strategies according to African countries and the impact of COVID-19

Regarding the pressures on the strategies of the CEPA principles, it is not surprising that the burden of public debt came up. Views on debt financing as an instrument of development are polarized. The neo-liberal economic theory currently in practice has emphasized the role of debt in development and demonstrated the deleterious effects of debt on development. The IMF and the World Bank's recipe of structural reforms has been followed across the continent. Countries like South Africa in their policy statements and budget submission to the National Assembly, argue that the critical threat to growth and development has been the increasing debt-to-GDP ratio and persistent resistance to structural reforms. The ranking is reflected in Table 13 and Figure 26. However, the not-so-pressing points are data segregation and strengthening of the national statistics system, which came last.

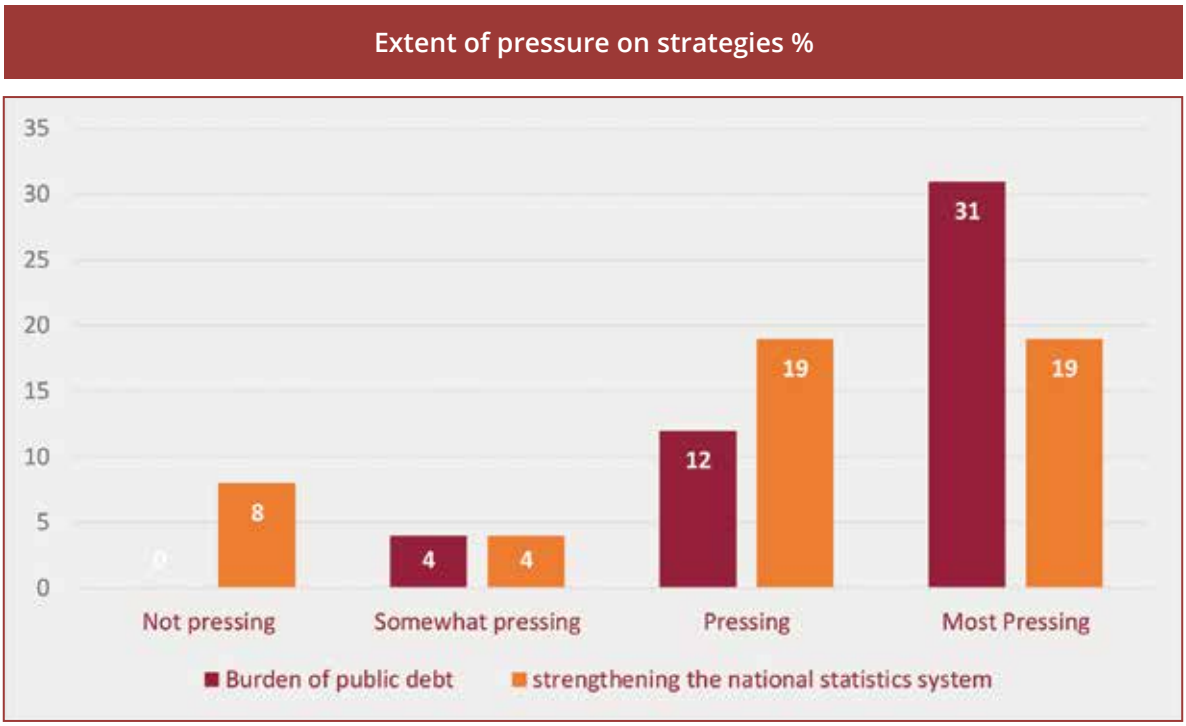


Figure 26: Extent of pressure on the UN-CEPA strategies

The Report has focused on cases in the strategies that are threatened the most and which strategies stand the most to gain from opportunities from the Pandemic. Figure 27 shows that overall, the impact of COVID-19 on the UN-CEPA Principles is positive. For instance, 66% of the strategies are impacted positively, compared to 34% that are impacted negatively.

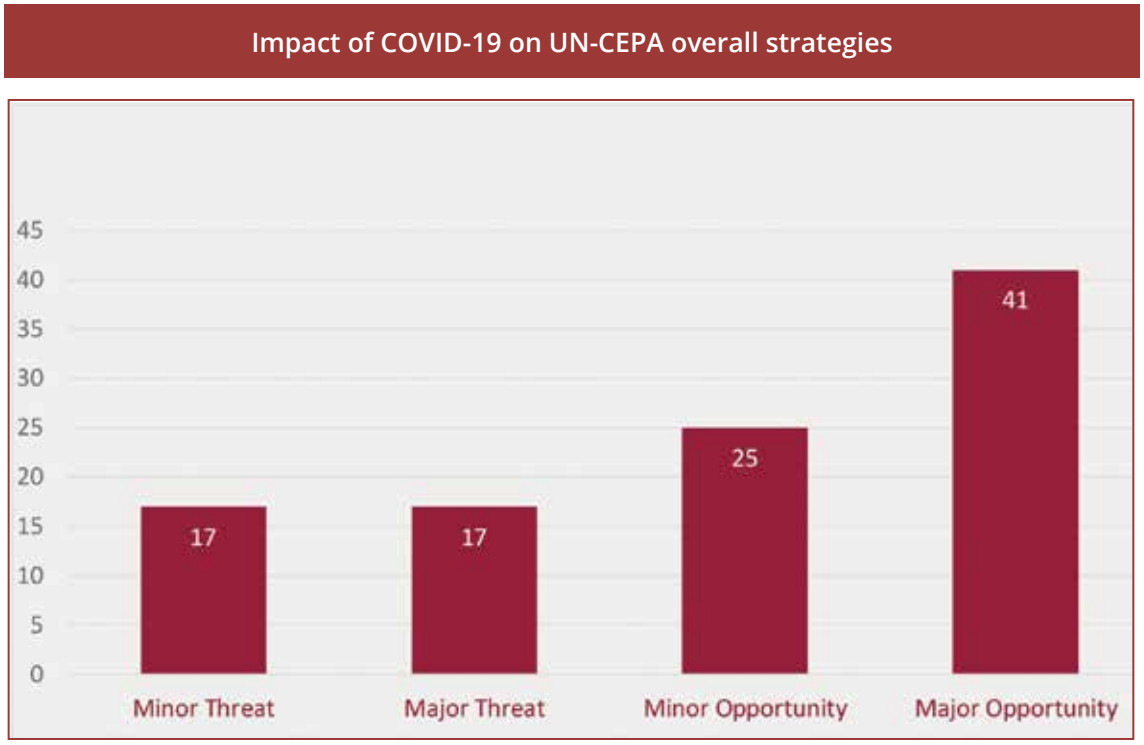


Figure 27: Impact of Covid-19 on the UN-CEPA principles

Figure 28 shows that the major threats identified are competitive public procurement whilst the major opportunity is strengthening the national statistics systems. It is quite surprising that public procurement stands at a polar position from national statistics systems. However, it may not be that surprising given that countries have been exposed to rampant allegations of bribery and corruption as regards procurement of Personal Protective Equipment (PPE). On the other hand, national statistics systems and offices have been at the forefront of responding to the pandemic as the call for science and risk-based response to the pandemic got louder.

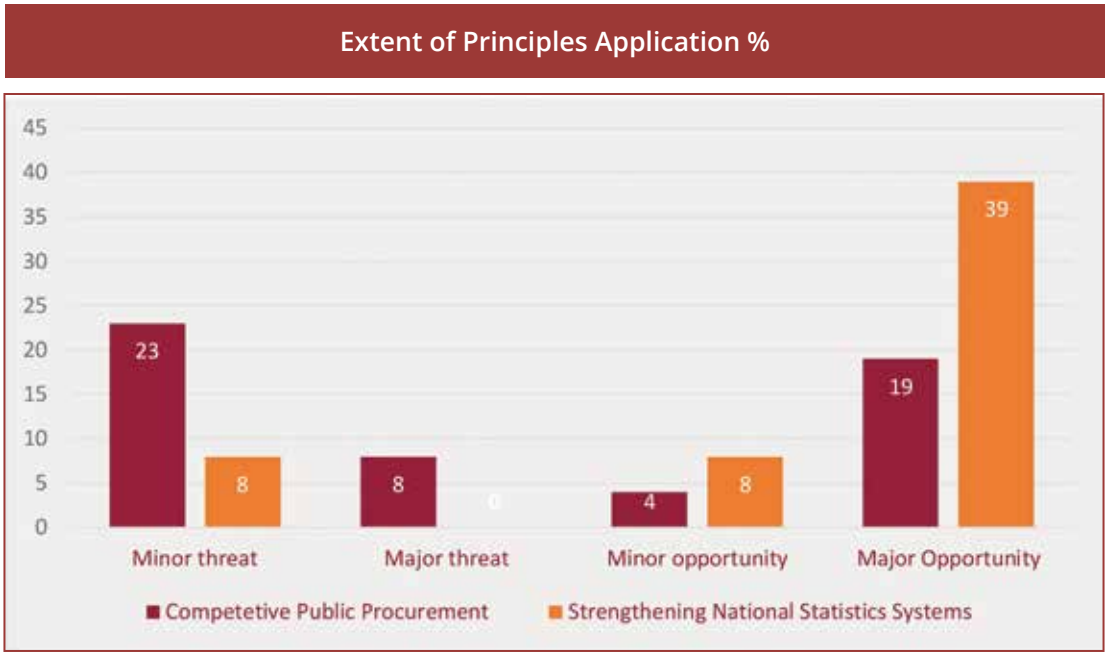


Figure 28: Impact of COVID-19 on selected UN-CEPA strategies

For instance, Lehohla (2020) observes in "*The Murderous Coronavirus: Data and Statistics To die or To Adapt, But Together – That Is The Question*"**,** that the Kenya Bureau of Statistics used the individual records of ID numbers to secure their census to access mobile numbers and used that as a sampling frame for COVID-19 impacts. Other countries like South Africa carried out rapid impact surveys on COVID-19 and in addition created a COVID-19 vulnerability map using 2011 Census data and drawing on new variables that were COVID-19 sensitive.

Figure 29 provides a detailed response for each of the strategies for which responses were made. As illustrated in Figure 28, National Statistics Systems are seen to be standing the best opportunity to benefit from the Pandemic. High on opportunities alongside strategies for strengthening the national statistics systems are the following set of strategies seen to be a cluster of winners as the pandemic gets addressed: long-term territorial planning, strategic human resources management, community-driven development, investment in e-government, and raising awareness of sustainable development, to mention but a few. On the other hand, threats to the application of the UN-CEPA principles are seen as emanating **from conflict of interest among political cycles, lobby registers, competitive public procurement, fiscal federalism, amongst others.** The study did not ask the question of why some of the strategies are points of strength and others points of weakness in the context of COVID-19. A further discussion seeking clarification on these points would be necessary and perhaps during the validation, these points can further be elaborated upon.

Individual extent to which UN-CEPA strategies are applied
-100 -80 -60 -40 -20 0 20 40 60 80 100
16.17 Investment in e-government
16.32 Strengthening national statistical systems
16.21 Multilevel governance
16.50 Open government data
16.6 Codes of conduct for public officials
16.62 Respect for legality
16.38 Strengthening municipal finance and local...
16.5 Promotion of anti-corruption policies, practices...
16.35 Proactive disclosure of information
16.3 Promotion of a professional public sector...
16.11 Financial management and control
16.23 Regulatory impact analysis
16.28 Strengthening urban governance
16.42 Community driven development
16.58 Risk management frameworks
16.12 Multilingual service delivery
16.36 Centre of government coordination under the...
16.27 6, coordination, integration and dialogue across...
16.44 Universal birth registration
16.51 Elimination of bribery and trading in influence
16.59 Ecosystem management
16.15 Efficient and fair revenue administration
16.45 Long term public debt management
16.19 Cultural audit of institutions
16.34 Promotion of the independence of regulatory...
16.26 Fiscal federalism
16.9 Competitive public procurement
16.18 Conflict of interest policies
major threat
minor threat
minor opportunity
major opportunity

Figure 29: Perceived impact of COVID-19 on all the UN-CEPA strategies individually

4.13 Discussion of Implications of the UN-CEPA Principles for the ten areas of work

The usefulness of the UN-CEPA principles is not debatable from the survey results. What is debatable though is how they may be classified and adapted to country situations. For that to happen the in-country practitioners must demonstrate flair and competence in deploying these tools. The survey revealed the intellectual and practice gap between awareness and practices. There is a steep decline in the knowledge base from being aware, to knowing and to understanding. At the point when understanding of the principles was sought the number of respondents had dropped by up to 60%. Being aware as distinct from knowing and understanding how the systems should run and being competent on how the tools fit one into the other is a major technocratic deficit in the arsenal of knowledge required for programme execution of good governance. It is one that must be addressed should the APRM adopt the UN-CEPA principles. But the survey also highlighted important areas that provide space for African countries to take opportunities that COVID-19 presented.

As the major opportunities have been identified as well as threats, an approach that seeks to map strengths to opportunities and counteract weaknesses will be an important next action point side by side with building on a manual of practices for the implementation of the UN-CEPA principles by the APRM in the context of its new mandate. The schematic below illustrates how in the next stage the APRM could guide workshops and discussions on how the SWOT map can be put in operation. Countries will need to harvest their own data, reason out why items are classified as weaknesses, strengths, opportunities, or threats. Out of that discussion, APRM can apply the technique that would lead countries in framing what becomes strategic transformation projects, sound policymaking projects and statistical development projects. For example, the study on the UN-CEPA principles and how they apply in Africa, constitutes Output 1. It is in this regard that we explore how Output 1 impacts the three areas of strategic transformation projects, sound policymaking projects and statistical development Projects. The UN-CEPA principles, as an input delivered through the quantitative study in the selected countries, can form part of a strategy session that uses this technique and generate the following outputs that require action.

As pointed out in Chapter 4 under background, the UN-CEPA survey, which is output 1, is bound to trigger action in nine more output areas which we repeat below from the background page.

Output 1: Framework for evaluating the implementation of the 11 UN-CEPA principles in a selected number of African countries

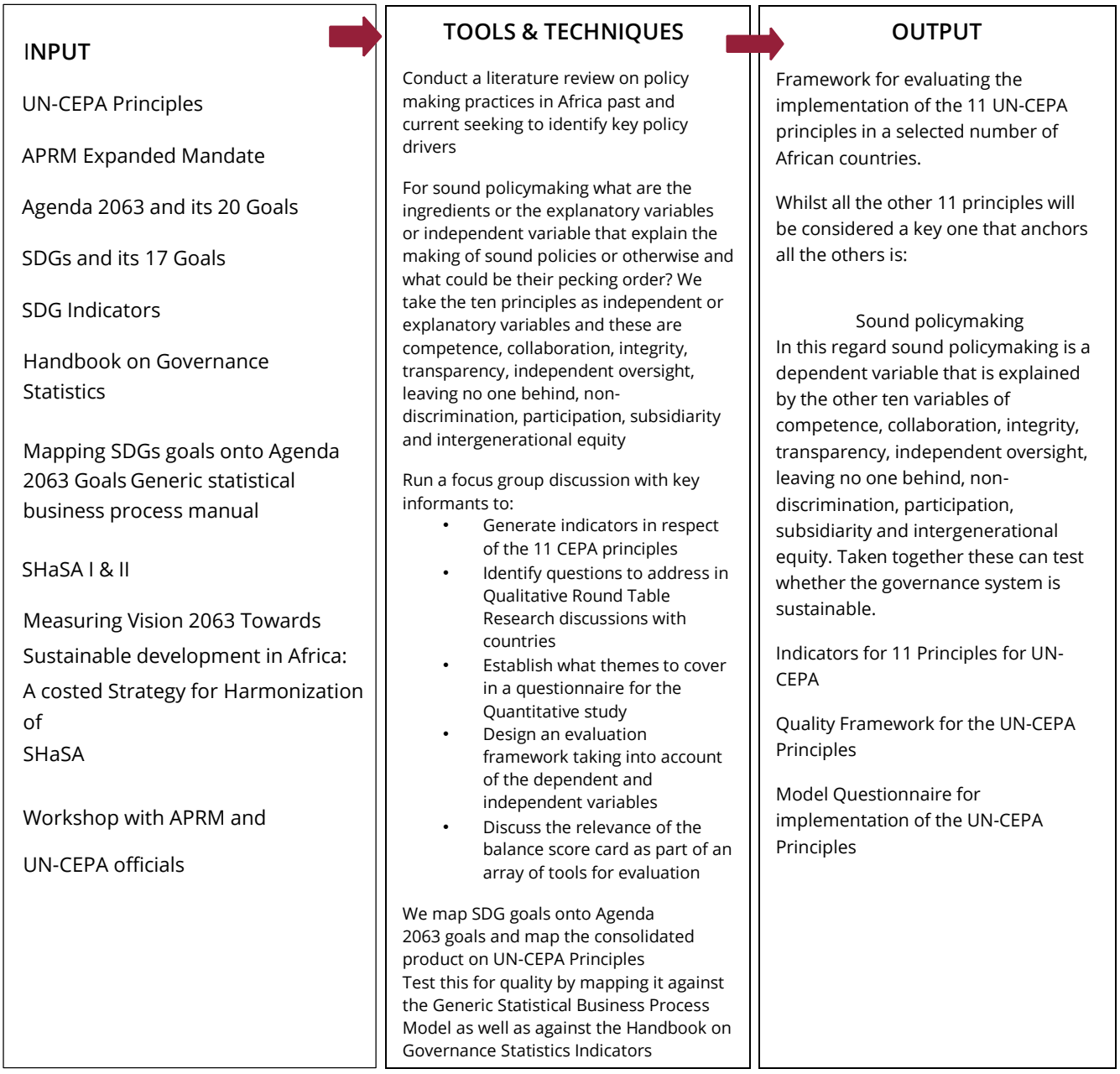

INPUT
UN-CEPA Principles
APRM Expanded Mandate
Agenda 2063 and its 20 Goals
SDGs and its 17 Goals
SDG Indicators
Handbook on Governance Statistics
Mapping SDGs goals onto Agenda 2063 Goals Generic statistical business process manual
SHaSA I & II
Measuring Vision 2063 Towards Sustainable development in Africa:
A costed Strategy for Harmonization of
SHaSA
Workshop with APRM and
UN-CEPA officials
TOOLS & TECHNIQUES
Conduct a literature review on policy making practices in Africa past and current seeking to identify key policy drivers
For sound policymaking what are the ingredients or the explanatory variables or independent variable that explain the making of sound policies or otherwise and what could be their pecking order? We take the ten principles as independent or explanatory variables and these are competence, collaboration, integrity, transparency, independent oversight, leaving no one behind, non-discrimination, participation, subsidiarity and intergenerational equity
Run a focus group discussion with key informants to:
Generate indicators in respect of the 11 CEPA principles
Identify questions to address in Qualitative Round Table Research discussions with countries
Establish what themes to cover in a questionnaire for the Quantitative study
Design an evaluation framework taking into account of the dependent and independent variables
Discuss the relevance of the balance score card as part of an array of tools for evaluation
We map SDG goals onto Agenda 2063 goals and map the consolidated product on UN-CEPA Principles
Test this for quality by mapping it against the Generic Statistical Business Process Model as well as against the Handbook on Governance Statistics Indicators
OUTPUT
Framework for evaluating the implementation of the 11 UN-CEPA principles in a selected number of African countries.
Whilst all the other 11 principles will be considered a key one that anchors all the others is:
Sound policymaking
In this regard sound policymaking is a dependent variable that is explained by the other ten variables of competence, collaboration, integrity, transparency, independent oversight, leaving no one behind, non-discrimination, participation, subsidiarity and intergenerational equity. Taken together these can test whether the governance system is sustainable.
Indicators for 11 Principles for UN-CEPA
Quality Framework for the UN-CEPA Principles
Model Questionnaire for implementation of the UN-CEPA Principles

Figure 30: Framework for evaluating the implementation of the 11 UN-CEPA principles in a selected number of African countries

Output 10: Strategy for the Harmonization of SHaSA and the Praia Group

The Report has confirmed in the first instance, as shown in the schematic titled output 1 below, that a rich dataset confirms that the UN-CEPA principles apply in the context of the APRM and it is a useful framework. Second, it has provided a framework for evaluating the UN-CEPA principles as they apply to Africa; third, it is prompting action for generating quantifiable indicators for each of the principles; fourth, it is prompting the creation of a quality assessment framework for the indicators; and fifth, it prompts the creation of a model questionnaire for implementing the UN-CEPA principles. For all these to happen, the SWOT Matrix in its dynamic will have to be deployed for activating all 5 areas which bear implications for strategic transformation projects, sound policymaking, as well as statistical development projects. Going forward, the nine other areas have to be explored in the context of what each of them raises in terms of expected outputs. Those are not reflected in this Report.

Table 9: SWOT analysis per Member-State

	Strengths (S)	Weaknesses (W)
OPPORTUNITIES (O)	**SO STRATEGIES**	**WO STRATEGIES**
THREATS (T)	**ST STRATEGIES**	**WT STRATEGIES**

Such an exercise will assist in generating focus on how APRM delivers on 3 key areas from the UN-CEPA principles' exercise. With no order of priority, the areas are strategic transformation projects, sound policymaking projects (bringing together three areas that were envisaged for strategic transformational projects), and statistical development projects.

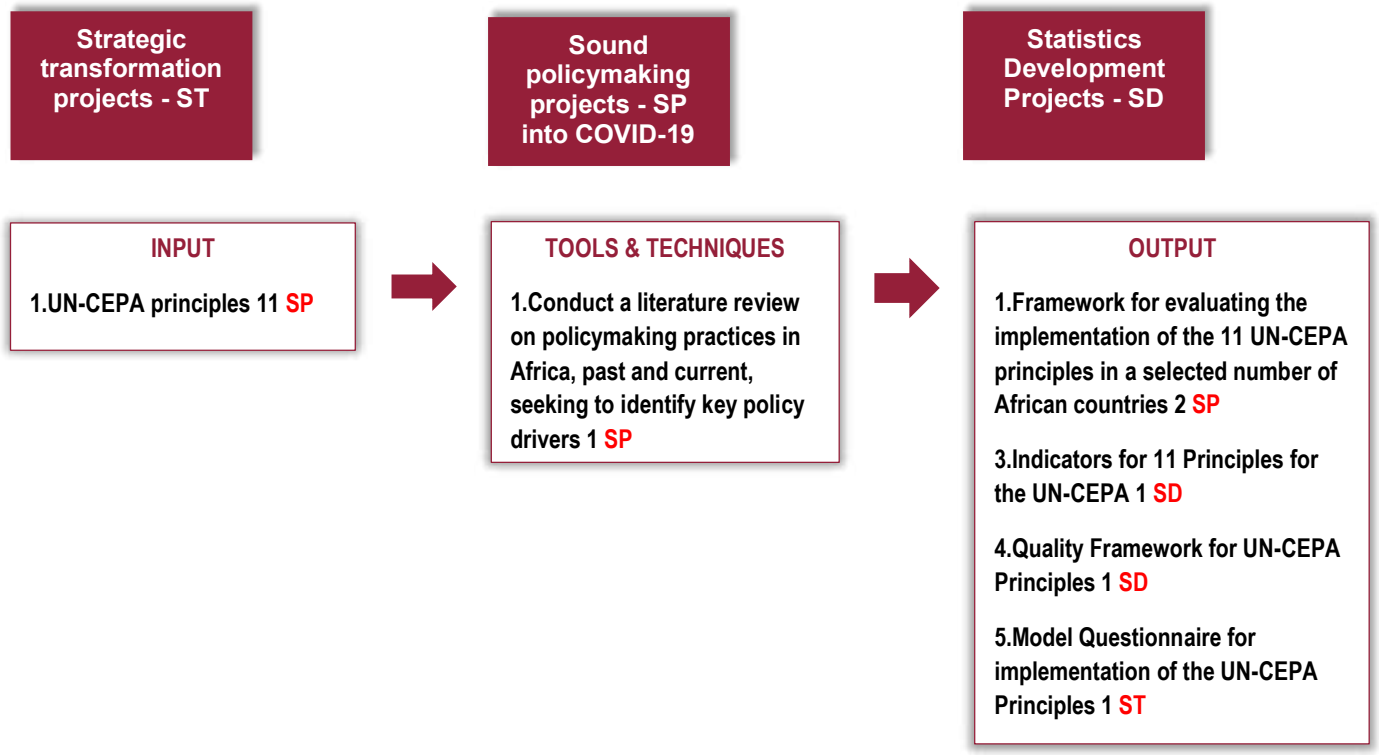

Strategic transformation projects - ST
Sound policymaking projects - SP into COVID-19
Statistics Development Projects - SD
INPUT
1.UN-CEPA principles 11 SP
TOOLS & TECHNIQUES
1.Conduct a literature review on policymaking practices in Africa, past and current, seeking to identify key policy drivers 1 SP
OUTPUT
1.Framework for evaluating the implementation of the 11 UN-CEPA principles in a selected number of African countries 2 SP
3.Indicators for 11 Principles for the UN-CEPA 1 SD
4.Quality Framework for UN-CEPA Principles 1 SD
5.Model Questionnaire for implementation of the UN-CEPA Principles 1 ST

Figure 31: Output 1: Framework for evaluating the Implementation of the 11 UN-CEPA principles in a selected number of African countries.

4.14 Conclusions and Recommendations

The survey has brought to the surface the importance of the UN-CEPA principles. Society is aware of these albeit at a superficial level. For these to be entrenched as part of practice and contribute to systemic institutionalization of the public service profession, there is a lot to be done by way of training and embedding practice. There is a clear gap from general awareness to actually embedding knowledge, understanding, and practices of the UN-CEPA. This gap should be addressed if the APRM is to achieve good governance. Whilst the survey was limited to only 26 responses, these were from key informants or expert opinions. The limitations in terms of embracing the principles in practice will require dedicated efforts. The following recommendations are thus made:

The UN-CEPA study in particular in the context of COVID-19 has provided the APRM with an opportunity of reviewing what strategic issues it should address. As pointed out, there are 3 broad themes that require attention, namely strategic transformational themes, sound policymaking themes and statistical development and informational requirement themes. The recommendations are crafted in such a way that they aim to deliver on these in the context of the APRM's expanded mandate.

1. The APRM should formally adopt the UN-CEPA principles as the Report has illustrated that many a jurisdiction apply them albeit without a structured process. The adoption and use of these will lead to the same being part of the Praia Group Governance indicators.
2. A training programme that works at three levels should be mounted
    a. The first level should be about public awareness.
    b. The second level should be directed at the public servants focusing on the principles and strategies.
    c. The third level must be research-based and focused on case studies and exchange amongst civil servants.
3. A survey directed at the need and state of readiness for mounting such a training programme will be required.
4. A pilot discussion amongst the public service professionals to shape and accompany the plan and implementation of UN-CEPA principles will be necessary;
5. For the UN-CEPA principles to be implemented effectively, they should be part of the rubric accompanying public policy engagement with NGOs, especially NGOs that deliberately target women affairs;
6. In as far as sound policymaking is concerned, a lot more sophistication of tools for crafting and deliberating on public policymaking is required. This should include NGOs.
7. It is important to recognize what opportunities and risks COVID-19 has created. In this regard most of the informants recognized that the pandemic has created opportunities for the better and the strategy should be about hitting the iron when it is hot.
8. The perception questions did not go into what reasons would be proffered in ranking what most important issues or most inhibiting parts are. In the validation process, these matters would need to be highlighted, so that the next step can be well-informed.

Chapter 05

African Countries' Experiences With The CEPA Principles; Putting Principles Into Practice

African countries' experiences with the CEPA principles; putting principles into practice

5.1 Background and observations

Building on the APRM questionnaire analysis on the CEPA principles, this chapter provides a further empirical overview of the said principles' actual implementation. As alluded to in previous sections of this report, this study's research consists of two components. The one component was a survey, and the other a desktop study. A separate survey report has been compiled. A detailed desk review of available official statements, policies, and strategies adopted by AU countries to take principles into action was conducted. Irrespective though of the relevance to the categorisation provided by the CEPA Secretariat. In the assessment of the case studies, the Report argues that given the variation in the application of the principles, it would be prudent to standardise practices.

The input provides insights and general observations made across seven countries referred to below. It would not be possible to include all countries that were part of the case studies given time limits, as well as given that the study provides broad strokes of practices, with regards to implementation of the UN-CEPA principles, which are generally representative in the case studies selected. A deliberate choice was made to focus on six of the countries out of the thirteen that participated in the quantitative survey of awareness, knowledge and understanding of the UN-CEPA principles. The countries that participated in the survey and are included in the desktop study are Egypt, South Africa, Kenya, Ghana, Sudan, Botswana and Senegal. The other countries participated in the desktop study only and included in this analysis is Botswana.

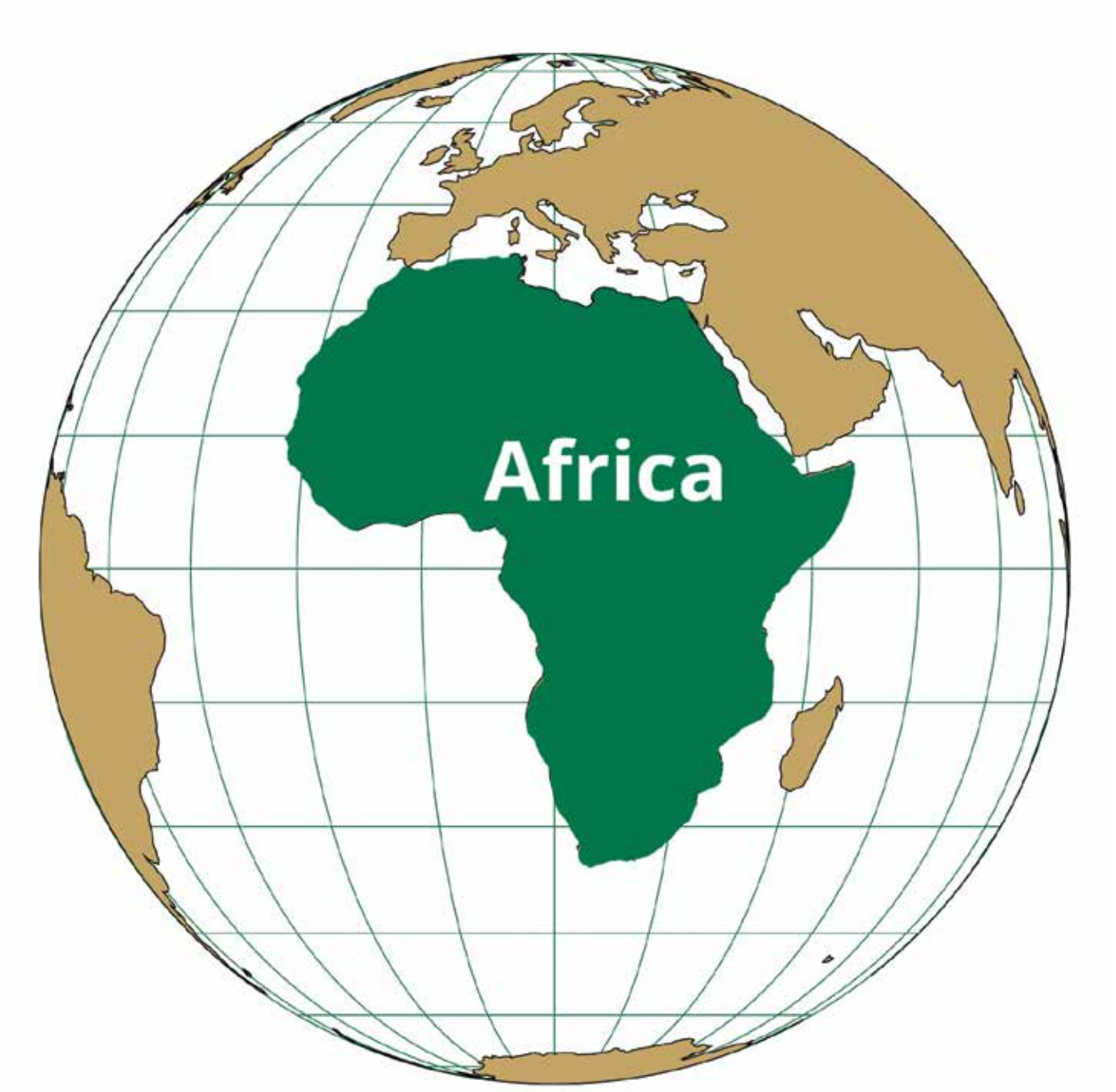
The study provides an overarching set of challenges in the case of Kenya based on the study by Kobia[53]. South Africa and Senegal have been selected for responses on COVID-19 and, finally, the case for Sudan is presented for its unique challenges as it creates a platform for reforms. As may be expected the case-studies differ generally. This difference emanates from the historical and political genesis and experiences of each country, including current realities that march alongside administrative laws and procedures of the selected countries. For each of the countries, except Senegal, we have followed the format that is explained under organization of the Report below. Whilst there was an intention to find out how countries have responded to COVID-19, not all the 13 countries in the survey responded to this part of the questionnaire. As regards Senegal which was part of the quantitative study but not of the desktop study, the focus is on the country's COVID-19 responses. The analysis on Egypt and South Africa also provides a comprehensive picture of their COVID-19 responses.

Although Lesotho had approached the case-study in similar ways as Botswana, the Report has chosen only Botswana as one of the seven country case-studies. The process of looking into the UN-CEPA principles as understood and applied in countries generated important variations. In this regard as one approach, the results of both Botswana and Lesotho have the 62 strategies mapped onto the eleven UN-CEPA principles, which in turn are classified into the 3 categories of effectiveness, accountability and inclusiveness.

The approach could enable the implementation of some of the recommendations that are made in the quantitative study with regards to the content and form of training manuals and taking practitioners through training on classifications. The approach in these two countries led to the mapping of the sixty-two strategies as triggers for policy responses. For the rest of the case-studies, the triggers for policy responses have been canvassed from the case studies themselves. For instance, we note that triggers for reform in South Africa were the constitutional developments since the fall of the Apartheid regime. In Egypt, the July 2011 revolution prompted reforms, whilst

53 Status of Implementation of the CEPA Principles of Effective Governance in Kenya (Margaret Kobia)

in Ghana the key drivers were the national development planning for purposes of meeting the SDGs. Kenya, on the other hand, was inspired by the AU regional reforms and declarations, including the AU Charter on Values and Principles of Public Service[54]. The paper on Kenya provides yet another way in which the application of the UN-CEPA principles can be interrogated and compiled.



54 The Paper on Kenya that looks at the relevance and appropriateness of UN-CEPA is a country study titled Status of Implementation of the UN-CEPA Principles of Effective Governance in Kenya (Kobia, M. 2020 UN-CEPA 19th Session)

5.2 Methodology

The methodology employed for this chapter ensures that the results, per case-study, can be translated into data that is useful for experts and policymakers. The results of the case-studies partially lend themselves to the **Pressure-State-Response (PSR) Model.** Whilst this model is more applicable to geo-systems and has extensively been applied by Global Environment Outlook 6 (GEO-6), the principles resonate as well in political, economic, and social systems. The Report observes how a variety of triggers or **pressures** led countries to specific **responses** that yield emergent **states**. It is in this regard that the Report applies the PSR technique in understanding some of the seismic events that led to new institutional arrangements and reforms that countries have undertaken to improve the execution of responsibilities of the public service. We see the PSR model as an instrument of the future in furthering understanding of the implementation of the UN-CEPA principles.

Whilst the triggers for change differ, the instruments that drive reforms, however, gravitate towards the 62 UN-CEPA strategies which aggregate in the 11 UN-CEPA principles. This observation qualifies to a great extent, the appropriateness of the UN-CEPA principles as a crucial framework for contemporary framing, analysing, and intervening in governance challenges in Africa. The observation comes as no surprise though because a broad literature review, and many policy briefs, official statements, VNRs and documents were considered in developing the UN-CEPA principles. It is important to highlight that the analysis serves as a critical starting point to understand the implementation of the UN-CEPA principles at national levels.

The analysis in this Report is therefore not necessarily an attempt to test the efficacy of the institutional structures underpinning the reforms, nor does the Report test the adequacy of the country's actions in respect of the implementation of the UN-CEPA principles. Rather the Report aims to show that a peer or an engaging audit process can only emerge out of the adoption of the UN-CEPA principles by the APRM as a prudent instrument for inference of efficacy and adequacy of how the UN-CEPA principles can be applied and improved upon for the goal of improving governance through public administration. What is of importance at this stage is to establish whether the institutional mechanisms exist in countries that gravitate towards the application of the UN-CEPA principles and or their equivalent. This could exist either in mature or nascent form. As earlier pointed out, the Report also discusses the deployment of these principles and what possibly triggered the institutional reforms of the institutions and the deployment of interventions through these principles.

In the main, the Report makes several observations on triggers of institutional arrangements and reforms, as well as what form the responses have taken. It should be noted that the study design did not start with PSR methodology in mind, however, it would have been ideal to apply the PSR Model to assess the extent of appropriateness to sustainability of instruments of the principles in their application across countries. But, for future methodological considerations, it is recommended that the APRM apply the PSR model as a model of choice.

The subsequent sections of the Report discuss the major insights that emerged.

5.3 General triggers for the adoption of the CEPA principles

The UN-CEPA principles are applied in Africa albeit in different forms and to different levels of depth. The principles respond to specific states and pressures and generate nascent and new states. As would be expected, these triggers and responses differ from one country to another. However, the responses in many ways bear similarities. This suggests that standardization of the UN-CEPA principles is not only possible and favourable, but it is actually desirable. The application of these principles should therefore adopt a specific set of standards. In particular statistical standards for measurement are crucial as these provide a formalized gateway to the rubric of Sustainable Development Indicators.

5.3.1 Strategies of selected AU Member States to put the UN-CEPA principles into practice

The Report observes several strategies in the country case-studies, which further etched the UN-CEPA principles into practice. For instance, the triggers for change in the case of Egypt were galvanized by popular revolts that demanded change since 2011. This commenced on January 25th, 2011 and came to be known as the 25th January Revolution. This public demonstration by citizens urged the 30-year rule of former President Hosni Mubarak to come to an end and paved the way for several incarcerations, following a wide process of institutional and economic reforms which are strongly relevant to the UN-CEPA principles.

In Ghana, the main trigger or incentive for change was the adoption of Millennium Development Goals (MDGs), the UN SDGs, the AU Agenda 2063, as well as the growing number of active national civil society organs. The country responded with a NDP that substantively embraced these imperatives.

Administrative reforms and triggers for change are echoed in the political pressures against colonialism and apartheid, as witnessed in the case of South Africa. This culminated in the advent of democracy in 1994, and the imperative for reforms as captured in the new Constitution of South Africa in 1996.

According to this study's survey, Botswana and Lesotho, which both gained independence from colonial rule in the 1960s, have applied the strategies in a way that they became triggers for responses in the form of policies.

In Kenya, however, the constitutional reforms that began in 2010 drove the governance principles and agenda. There is substantive convergence between the UN-CEPA principles and Kenya's constitutional, legislative and administrative reforms. The constitutional reforms in Kenya focused on a comprehensive range of policies that would change the face of public administration. The reforms were further informed by the fact that Kenya signed and ratified the AU Charter on Values and Principles of Public Service. In an attempt to strengthen good governance in Kenya and Uganda through citizens' access to information (ATI) observation of the CEPA principles has reinforced confidence of citizens to hold accountable their public institutions, request for information and or address their concerns directly to relevant authorities. A good number of citizens have been taught how to submit public complaints and generate collective petitions against the inadequate provision of public services. Additionally, the ATI Bill was proposed in 2015, and approved by the Parliament[55] in April 2016.

5.3.2 Organization of reporting on case-studies

The study has selected key UN-CEPA principles for each of the six countries to illustrate the relevance and application of each at the country-level. The Report also discusses the nature and depth of challenges in the implementation of the UN-CEPA principles. In this regard, there is an annexure detailing the number of associated triggers and responses. These may be investigated further in the future by applying the PSR model.

Due to the length of the 11 UN-CEPA principles and member-states' strategies, this chapter highlights examples of good practices at the category level and focuses on a few of the UN-CEPA principles and strategies. The Report also highlights at least one significant challenge that each country may be facing. A detailed matrix of these attributes is attached as annexure.

55 afic_2016_case_studies_citizen_access_to_information_uganda_kenya_malawi (2).pdf

5.3.3 Case studies

Egypt

Egypt has a complex and multi-layered national administrative structure. The public sector workforce in Egypt represents a significant driver of the efficient performance of the Egyptian Government. According to recent statistics, the organizational structure in Egypt includes six to seven million employees. It comprises 34 ministries; two are state ministries, and the rest are cabinet ministries (Al-Araby, 2014). It also includes 234 independent public purpose agencies, 23 government entities, and many local units. The local units are divided into 27 governorates and 323 service directorates. The Report considers the application of three principles for Egypt, namely competence, sound policymaking and subsidiarity. The first two principles are about effectiveness whilst subsidiarity is about inclusiveness. Egypt, like other countries, has a sub-national structure as well, but how well the reforms cascade to these is also covered in the Annexure.

Effectiveness

The concept of effectiveness according to the UN-CEPA relates to competence, sound policymaking and collaboration. It is against these three principles that we will examine how Egypt performs. In principle, the complexity of the legal framework governing the Egyptian bureaucratic structure is key to understanding the current system and its complicated overlapping layers. The governing administrative structure emanates from several historical governing laws including the public service law (law 47 of 1978, with its 17 amendments), which has recently been changed; the local administrative law (law 43 of 1979); and public organisation law (law 61 of 1963) (*Ibid*, 2014). We refer to 2 principles of competence and sound policymaking to appreciate positive developments in Egypt but also bring the **principle of Subsidiarity** which is where Egypt shows systemic challenges in its reform agenda. To overcome these complexities and enhance public service delivery, the Egyptian Government adopted a new civil service law[56] in 2015. The law strives to enhance public service Competence and lay down infrastructure for sound policymaking, yet the concept of subsidiarity remains a challenge.

Competence

The law referred to also encourages the bottom-up approach and leadership of employees, especially the young generation. The adoption of Egypt's 2030 vision for implementing SDGs resulted in the Government's eagerness to apply *a transformational plan for the public sector and National Training Strategy 2018-2022*. This strategy's implementation is supported by the National Management Institute (NMI) and the National Institute for Training (NIT).

56 The New Civil Service Law of the Arab Republic of Egypt 2018, Available on http://www.nib.gov.eg/ The New Civil Service Law of the Arab Republic of Egypt 2018, Available on http://www.nib.gov.eg/PDF/%D8%A7%D9%84%D9%82%D8%A7%D9%86%D9%88%D9%86%2081%20%D9%84%D8%B3%D9%86%D8%A9%202016%20%D8%A8%D8%A7%D8%B5%D8%AF%D8%A7%D8%B1%20%D9%82%D8%A7%D9%86%D9%88%D9%86%20%D8%A7%D9%84%D8%AE%D8%AF%D9%85%D8%A9%20%D8%A7%D9%84%D9%85%D8%AF%D9%86%D9%8A%D8%A9.pdf. (in Arabic) PDF/%D8%A7%D9%84%D9%82%D8%A7%D9%86%D9%88%D9%86%2081%20%D9%84%D8%B3%D9%86%D8%A9%202016%20%D8%A8%D8%A7%D8%B5%D8%AF%D8%A7%D8%B1%20%D9%82%D8%A7%D9%86%D9%88%D9%86%20%D8%A7%D9%84%D8%AE%D8%AF%D9%85%D8%A9%20%D8%A7%D9%84%D9%85%D8%AF%D9%86%D9%8A%D8%A9.pdf. (in Arabic)

In addition to the adopted Civil Service law, the NMI established an affiliated Governance Centre[57] as well as an innovation excellence arena. This is under the guidance of the Prime Minister and the Ministry of Planning and Economic Development. The design is to provide capacity-building through training for the employees while applying new criteria based on efficiency, performance, and gender equality. The centre aims to promote accountability as part of the transformational agenda for the administrative body. Furthermore, this body inculcates commitment to incorporating monitoring and evaluation systems into the assessment and appraisal of employees. The tools are extended to government's partnerships with civil society, the private sector, and international organizations in Egypt's drive towards administrative reforms. It is observed that a combination of strategies that included legal frameworks and training and capacity-building were key to advancing Egypt's competence and its journey of reforms.

Egypt's Civil Service Law No. 81

The New Egyptian civil law was initiated by the Ministry of Planning and Administrative Reforms in 2014 and approved by the Egyptian Parliament in May 2016 as milestone to address various structural weaknesses in the Egyptian administration bodies. The law includes various articles that identify and frame the employees-government relationship and principles for employment based on academic and professional excellence rather than nepotism. Further, the law introduces new rules on performance assessment, appraisals, wages and salaries. It envisages a result-based system for appraisals of employees at all levels.

Sound policymaking

Egypt has deployed a number of policy tools to guide its policymaking. For instance, the national development planning for Egypt has been historically set upon a five-year economic plan. With the eruption of the 2011 revolution and the consequent administrative and political restructuring at the government level, the Ministry of Planning, Monitoring and Administrative Reform (MPMAR), the predecessor of the Ministry of Planning and Economic Development launched the Sustainable Development Strategy (SDS) which is Egypt's 2030 vision. This strategy has to be aligned with the 17 SDGs, as well as the AU Agenda 2063.

The SDS acts as the governing framework for all development programmes and projects that will be implemented until 2030. In addition to the Civil Service law that has been adopted, there have been a cluster of interventions aimed at progressive implementation of sound policymaking[58]. Amongst these is the NMI.It was established as an affiliated Governance Centre and innovation excellence arena. It operates under the guidance of the Prime Minister and the Ministry of Planning and Economic development. Its role is to provide capacity-building training for the employees while applying new criteria based on efficiency, performance, and gender equality. Further, the Centre aims to promote its transformational administrative agenda as regards accountability and commitment to incorporating monitoring and evaluation systems for the assessment of employees as well as their appraisals whilst encouraging the building of partnerships amongst government, civil society, the private sector, and international organizations for administrative reforms.

57 http://www.nmi.gov.eg/page/p/%D8%B9%D9%86-%D9%88%D8%AD%D8%AF%D8%A9-%D9%85%D8%B1%D9%83%D8%B2-%D8%A7%D9%84%D8%AD%D9%88%D9%83%D9%85%D8%A9.

58 http://www.nmi.gov.eg/page/p/%D8%B9%D9%86-%D9%88%D8%AD%D8%AF%D8%A9-%D9%85%D8%B1%D9%83%D8%B2-%D8%A7%D9%84%D8%AD%D9%88%D9%83%D9%85%D8%A9

Egypt's Vision 2030 for Sustainable Development

Egypt's Vision 2030 (SDS) was launched during the "Youth Year", on February 24, 2016 and was deemed comprehensive and multidimensional, and ensures the needs of current and future generations. The SDS is the first long-term strategy that has been developed in Egypt following a participatory, open and transparent approach involving all relevant stakeholders (Egypt VNR, 2018). The SDS is based on three sustainable dimensions.

1) The economic dimension has 77 key performance indicators covering all its four pillars: including transparency and efficiency of governmental institutions.
2) The social dimension has 61 key performance indicators covering its four pillars.
3) The environmental dimension has 31 key performance indicators covering its two pillars.

A four-year action plan has been also announced in 2016 and a performance-based budget was developed to complement and display in details the national priorities for socio-economic development and social justice.

Challenges

The public uprisings in 2011 and 2013 galvanized consecutive governments to adopt rigorous policies for public sector reforms in all government bodies. Most of the CEPA principles, especially the effectiveness of public sector delivery, sound policymaking, accountability, and integrity are being improved through different policies. Throughout the last four years, the government developed a national Anti-Corruption Strategy and has received a better ranking according to the Transparency International Index on corruption. Further, a new civil service law, code of conduct and other institutional coordination mechanisms are developed among ministries to promote collaboration. Nevertheless, other strategies like investment in e-government, monitoring and evaluation, as well as inclusiveness and relevant strategies i.e., long-term debt management, multilevel governance and subsidiarity policies remain persistent challenges. We now focus on the concept of inclusiveness but picking specifically access through E-Government as an aspect of subsidiarity.

Investment in E-Government

The 2016 package of economic and administrative reforms adopted by the Egyptian Government was also accompanied by a promising vision to improve Egyptian citizens' e-Government services, but also to recover lost ground on Information Technology (IT) development. Adopting Information Communication Technology (ICT) in Government can provide several benefits. These are inter alia, (i) increasing efficiency, (ii) improving accountability, (iii) enhancing national resource management in addition to (iv) striving for improved public satisfaction with services provided. The political instability and economic fallout of 2011 and 2012 impacted Egypt negatively. Egypt dropped in E-government rankings as a consequence and fell sharply from position 86 in 2010 to 107 in 2012. According to the E-Government Development Index, Egypt has further moved downwards and is ranked 111 out of 193 countries[59]. However, in the last three years (2016-2019) there has been a slight improvement in e-government service delivery[60]. This is a measure of interactions between public opinion and Government concerning societal issues, including the implementation of SDGs. On this measure known as e-participation Index, Egypt is now ranked 106 out of 193. To elucidate the nature of challenges on the implementation of e-participation, in collaboration with the Ministry of Planning and Economic Development, the Central Agency for

59 https://publicadministration.un.org/egovkb/en-us/Data/Country-Information/id/53-Egypt
60 https://publicadministration.un.org/egovkb/en-us/Data/Country-Information/id/53-Egypt/dataYear/2020

Public Mobilisation and Statistics (CAPMS) is currently launching various digital tools and applications to provide sufficient guidance on all e-Government services provided by the public sector.

Among other challenges in regard to the promotion of e-Government in Egypt are the following, and this is in no particular order of importance. First is the lack of ICT infrastructure, second is the lack of electronic authentication by way of the e-signature mechanism, third is security and privacy concerns, fourth is low thresholds of e-payment transactions such as credit cards which would have eased access by the public and sixth is inconvenience of delivery mechanisms and its accompanying effects on the reputation of e-services quality. Compounding these problems are challenges of computer illiteracy and low Internet penetration rate.

Regardless, it should be emphasized that COVID-19 compelled the government to develop various digital tools to track the policies adopted to curb the pandemic through preventive, protective and recovery measures. The Ministry of Planning and Economic Development launched a policy tracker to monitor all of the government's efforts post COVID-19; all those efforts are classified by sector and by sustainable development goals[61].

Engagement of youth in Sustainable Development in Egypt

The COVID-19 pandemic crisis revealed and assured the importance of sustainable development in all the sectors, and the urgent need to disseminate the sustainability culture, that is why the Ministry of Planning and Economic Development launched an initiative called "Becoming an Ambassador for Sustainable Development Goals".

The initiative aims at dissemination of the sustainability culture among the whole society and within all the sectors. We designed it for three batches. Starting by "youth", the first batch is targeting youth who are members of student unions, scouts, and graduates from 18-35 years old. They will take a generic module about the main sustainable development goals and their application in the various sectors, then how to design their own inter-parental and sustainable projects. Furthermore, the second batch is targeting executive civil servants in whole and the cabinet. They will handle an advanced module designed for each sector, adding up to that the sustainability criteria that they have to follow in designing their annual national investment plan. Following the presidential recommendations to disseminate capacity building programmes to African brothers and sisters, the third batch will take place. This batch is targeting civil executive and youth from all the African countries for a better engagement and exchange of experiences.

Source: Ministry of Planning and Economic Development, Egypt

61 http://policytracker.mped.gov.eg/

Ghana

Effectiveness, accountability, and inclusiveness principles

We focus on the categories of effectiveness, accountability, and inclusiveness in Ghana as aspects of best practices. In this regard collaboration, transparency, and intergenerational equity are addressed as good practices in the government's current strategies and policies. As for challenges, the Report focuses on the *leave no one behind* principle.

Collaboration

In order to implement the 2030 Agenda and commitments under Agenda 2063 consistently and sustainably, Ghana is using the decentralised planning system as set out in the NDP (Systems) Act, 1994 (Act 480), which provides a linked and coordinated network and system. This system assigns planning functions to Ministries, Departments and Agencies (MDAs) at the national level and local authorities, namely Metropolitan, Municipal, and District Assemblies. Coordination is vested in the National Development Planning Commission (NDPC) at the apex, supported by 16 Regional Coordinating Councils (RCCs). The Ministry of Planning provides policy coordination and monitoring support. Collaboration and consultation are encouraged between government agencies and stakeholders through the decentralized planning approach[62].

Transparency Principle

In 2010 the Government established an Economic and Organized Crime Office to investigate and detect organised crimes and facilitate the retrieval of proceeds of crime. The Government further recognizes the need for an all-inclusive anti-corruption law. Sectors worst affected by corruption include natural resource management, the judiciary, and the police. Courts are commonly perceived to be vulnerable to corruption. Prosecution of crime is often lengthy, and people often turn to informal arbitrations[63/64]. To aid in the fight against corruption the government of the Republic of Ghana established the Office of the Special Prosecutor. The office seeks to mitigate abuse of power by businesses and those who occupy public offices. In 2019, the Republic of Ghana passed the Right to Information Bill drawing on the provisions of the 1992 Constitution. The civil society in Ghana had actively advocated for the bill over a 20-year period. This saw four different bills on the Right to Information being developed by Parliament. Following the eventual passing of the bill in 2019, Parliament introduced the Commencement Clause which delayed implementation of the bill till January 2020. The bill as passed allows citizens to apply for access to information without having to state reasons for the request.

62 Available on http://regulatoryreform.com/wp-content/uploads/2015/02/South-Africa-The-role-of-regulatory-impact-assessment-and-the-Competition-Commission-2004.pdf
63 https://www.transparency.org/en/news/corruption-perceptions-index-2017, https://www.transparency.org/en/countries/ghana
64 https://knowledgehub.transparency.org/assets/uploads/helpdesk/overview-of-corruption-and-anti-corruption-in-ghana-2018.pdf

Intergenerational equity principle

The Environmental Impact Assessments (EIA) provision does exist in the country, together with Environmental and Social Impact Assessments (ESIA), which include an assessment on the impact on local communities by mining or any other venture[65].

In line with its international obligation under the Climate Change Agreement, the country has prepared the Nationally Determined Contribution (NDC). Ghana has developed a National Climate Change Policy (NCCP), together with a Low Carbon Development Strategy, to facilitate the operationalisation of the mitigation objectives of the NCCP. Various national policies and guidelines such as the National Environment Policy, Energy Policy, National Policy on Public Private Partnership, National Transport Policy, and National Forest and Wildlife Policy have all been made climate compliant. Ghana recognises the importance of implementing climate change adaptation and mitigation[66].

Inclusiveness and public debt management

Before the year 2018, Ghana experienced a downward trend in the total public debt-GDP ratio, which was then reversed in 2018. The reversal resulted from the financial sector incurring cleaning up costs that had not been anticipated[67]. Total public debt stock at the end of 2019 was GH¢217,990.7 billion (62.4% of GDP), up from GH¢173,102.2 billion (57.6% of GDP) at the end of 2018. Effective debt management has implications for the delivery of inclusive social services by freeing up more resources for public and social welfare.

Leaving no one behind principle as a challenge

Although Ghana made significant gains with the MDGs implementation, notably, progress was hampered by weak inter- and intra-sectoral coordination and ineffective collaboration among stakeholders. This resulted in the inefficient use of resources and the uneven spread of important interventions across the country. Further, the lack of reliable and timely data for some of the indicators posed a significant challenge for monitoring and reporting on the MDGs. In the current period, Ghana's youthful population continues to require that the nation invests meaningfully in sustainable child development and reduces child poverty. Monetary child poverty is estimated to have remained unchanged between 2013 and 2017, but a significant proportion of children suffer from at least three of the eight dimensions of child poverty. This requires urgent action from stakeholders to tackle the root causes of multidimensional child poverty. The youth unemployment rate is estimated at 26.4% as of 2017, representing a 15.5% increase compared to 2013. Giving the high labour underutilization rate of 42%, the proportion of unemployed youth could be more. Youth unemployment is high among females and is mostly an urban phenomenon.

In Ghana, analysis of income distribution using the Gini Index shows widening income inequality since 1992, increasing from 37% to 43% in 2017. However, the rate of increase has slowed between 2005 and 2017. Income inequality is relatively higher in rural areas than urban areas and the three northern regions than the rest of the country. The widening income inequality has implications for sustainable economic growth and poverty reduction.

65 https://www.eia.nl/en/countries/ghana/sea-profile
66 https://ghana.un.org/sites/default/files/2019-10/23420VNR_Report_Ghana_Final_print.pdf
67 http://documents.worldbank.org/curated/en/107291558383900674/pdf/Ghana-Joint-World-Bank-IMF-Debt-Sustainability-Analysis-2019-Update.pdf

Botswana

Since its independence from British rule in 1966, Botswana has been under the rule of the same party. It is one of the few African countries with no experience of a popular insurrection or a coup d'état.

Botswana's public institutions can relatively perform their functions effectively, with relatively sufficient expertise, resources, and tools. This is evidenced through its Constitution (1966), as a parliamentary, multi-party republic. Since independence, Botswana's development process has been guided by successive NDPs which are the medium-term planning and budgeting frameworks of Botswana's system of development management[68]. These development plans are also guided by recent strategic National Visions, namely, the Botswana Vision 2016 (1996-2016) and the Botswana Vision 2036 (2016-2036). Botswana has also domesticated the SDGs' Indicator Framework, which outlines the related interlinkages between the global Agenda 2030 Indicators, the continental Agenda 2063 Indicators, and the Botswana National Vision 2036 indicators[69].

Botswana Vision 2036

Botswana's Vision 2036 is a transformational agenda that defines the country's aspirations and goals. It aims to transform Botswana from an upper middle-income country to a high-income country by 2036 and sets out a compelling vision in creating broad prosperity for all the people of Botswana. The goals of Vision 2036 are aligned with four pillars; a) Sustainable Economic Development; b) Human and Social Development; c) Sustainable Environment; and d) Governance, Peace and Security.

Botswana undertook most of the UN-CEPA related reforms from 2000. For instance, the Human Resources Development Act (No.17 of 2013) was enacted seven years ago. Botswana's progress has gently evolved over time without any major shocks in its political situation. From Botswana we cover and highlight the categories of effectiveness, accountability, and inclusiveness.

68 Land, A. (2010). Strengthening of National Capacities for National Development Strategies and Their Management: An Evaluation of UNDP's Contribution. Country Study: Botswana. UNDP. (p4)

69 Statistics Botswana, (2018), Botswana Domesticated Sustainable Development Goals Indicators: Baseline Stats Brief. Retrieved from http://www.statsbots.org.bw/sites/default/files/special_documents/Botswana%20Domesticated%20Sustainable%20Development%20Goals%20Indicators%20%20Baseline%20Stats%20Brief_0.pdf.

Competence

Botswana established the Human Resources Development Council, which was established by Act No. 17 of 2013. The main mandate of the Act is to plan and fund the human resources needs of Botswana and it covers the public, private and civil society sectors. To support this Act, the Botswana Public Service College provides the following services:

a) Senior executives with relevant leadership skills and competencies
b) Public service with relevant administrative skills
c) Capacitates the public service to effectively implement government reforms agenda
d) Promotes public service values and culture of excellence; and
e) Undertakes practical research and professional services
f) Training currently is on Outreach programmes, Quality assurance (ISO 9001) and Public Service Training

Furthermore, Botswana has accompanied the reforms on public service training with modern performance management tools such as the performance-based rewards system and the balance scorecard. In as far as the goal for economic growth is concerned, it is supported through a nationwide deployment of ICT[70].

Sound policymaking

Since independence, Botswana's development agenda has been informed by National Development Plans, for instance Vision 2016 was crafted for a twenty-year plan that started in 1996. And this has been followed by another twenty years that started in 2016 for the period 2016-2036. Broken down into 5-6-year periods, Botswana is in its 11th NDP. The 5-6-year tranches provide for capital and recurrent expenditures as a key feature of Botswana's development management.

Transparency

Whilst Botswana no doubt has exhibited a durable trajectory that remains unparalleled in Africa over more than five decades, it has not fared as well on some aspects of its accountability. In its report, the International Budget Partnership has shown a deterioration of the transparency of the budget score in Botswana. The score has progressively dropped from 51 in 2010, 50 in 2012 to 47 in 2015. Botswana today is barely average on this score, whilst South Africa stands at 86.

Botswana is one of the lower ranked countries in Sub-Saharan Africa with regard to corruption (Corruption Perceptions Index Rank: 34/180 in 2019)[71]. Institutions and actors are held accountable through laws such as the Public Service Act (No. 30 of 2008) and the Whistleblowing Act (Act 9, 2016). For example, the country also has an independent Auditor General, and the office of the Auditor General serves as the external auditor of the Government of Botswana which is mandated by the Constitution of Botswana under Section 124, Public Audit Act and the Local Authorities and Township Act to audit public accounts of ministries, local authorities and selected parastatals.

70 Bose, A., & Bose, K. (2011). Botswana Case Study Role of ICT in Graduation from a Least Developed Country to a Developed Country. IST-Africa 2011 Conference Proceedings Paul Cunningham and Miriam Cunningham (Eds). [Online] Available: https://www.researchgate.net/publication/228332162_Botswana_Case_Study_Role_of_ICT_in_Graduation_from_a_Least_Developed_Country_to_a_Developed_Country [Accessed: 30 April 2020].
71 https://www.transparency.org/en/countries/botswana

The stellar practice of good governance and transparency in Botswana may be attributed to factors such as the country having a homogenous society, good leadership, and the upholding of the rule of law. However, one factor may be the persistence of having a judicious balance between democratic republican and traditional systems of governance[72]. As outlined in Chapter V, Part III of the Constitution of Botswana, the *Ntlo ya Dikgosi* (House of Chiefs) which comprises various ethnic groups that make up the nation-state of Botswana, can serve in an advisory manner. This form of governance may reflect a deeper level of accountability.

Leaving no one behind

Botswana has a history of inclusivity in its governance processes. Since the pre-independence elections of 1965, Botswana adopted the First Past-The-Post (FPTP) electoral system. Currently, the country's elections are harmonised for National Assembly and Local Authorities and are held every five years[73]. Citizens can participate through various avenues, including having access to and monitoring of public consultation processes through local tribal court practices and online facilities[74]. In this regard, Botswana's Vision 2036 states that decentralisation of power, decision-making, resources and service delivery will underpin the Botswana governance system. This call for inclusivity is a factor that Botswana is beginning to implement at the local level.

Challenges

Botswana will have to ensure further decentralization and implementation of its Vision 2036 at the local level. The country also faces some challenges in respect of this principle of inclusiveness. For instance, in their report on food security, the Statistician-General of Botswana shows that in as far as food security is concerned, 22% of Botswana citizens are severely food-insecure with 33% of this insecurity existing in rural Botswana.

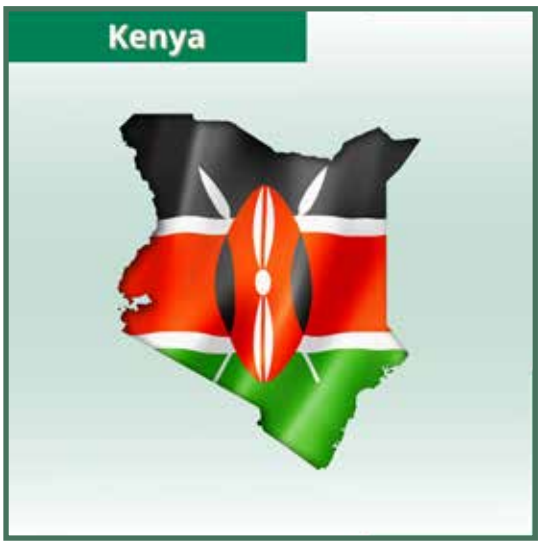
72 Molomo, M., (2014), Chieftainship (Bogosi) Endures Despite Democratic Consolidation in Botswana. Afrobarometer. Retrieved from: https://afrobarometer.org/sites/default/files/publications/Briefing%20paper/afrobriefno130.pdf

73 Republic of Botswana, (2019), Report to the Minister for Presidential Affairs, Governance and Public Administration on the 2019 General Elections, Retrieved from: https://www.iec.gov.bw/images/Botswana_2019_General_Elections_REPORT(1).pdf

74 https://www.gov.bw/public-safety/using-tribal-court-kgotla-consultation-and-decision-making

Kenya

In the case of Kenya, we focus on the category of inclusivity in terms of the UN-CEPA principles. In this regard we elaborate on the principles of subsidiarity and independent oversight as best practices.



Sound policymaking principle

By way of illustration, the Government of Kenya undertook an informal assessment of the status of implementation of the UN-CEPA principles in December 2020. The case of Kenya has demonstrated that top-level political leadership at the centre-of-government holds a critical role in the successful implementation of any strategies aimed at governance effectiveness, and that such efforts should be preceded by engagement to champion adoption,

budget prioritization and uptake. The assessment found that the operationalisation of the CEPA principles should be considered in the context of the existing national governance framework. Moreover, objective monitoring of progress should be underpinned by a systematic monitoring, evaluation and reporting framework that includes measurable and policy-relevant indicators and metrics.

Upon the promulgation of a new Constitution in 2010, the Government of Kenya set out on a new governance trajectory towards a capable developmental state anchored on constitutionalism and the rule of law. In recognition of the need for supporting policy and legal framework for the implementation of the values and principles of governance and public service, the 2010 Constitution goes far enough to anticipate enabling legislation to be enacted by Parliament to give effect to the provisions.

Over the last decade, Kenya's Parliament has passed several such pieces of legislation that establish the necessary institutions to implement and support the good governance proposition. Differing only in framing, most of the values and principles of governance and public service enshrined in the Constitution and enabling legislation mirror those provided for under the CEPA framework.

The Constitution and the County Government Act of 2015, for example, gives effect to the subsidiarity principle by operationalizing the functions of county governments in relation to those of the national government provided in the fourth schedule of the 2010 Constitution. In this model, counties have been allocated fourteen key citizen-facing functions, including agriculture, county health services, pollution control, county transport, animal control, pre-primary education, implementation of national government policies on environment, county public works and services, firefighting services and disaster management and control of drugs and pornography. The Act also sets out the obligation of the county governments in facilitating public participation in the formulation of policies and subsidiary legislation and provides for the oversight role of the County Assemblies, as well as mechanisms for collaboration and cooperation between counties and the national government.

The delivery of government services under the devolved system calls for matching resources to functions. With key citizen-facing functions and service delivery interfaces moved to county levels of government, there is persistent concern from counties about a mismatch between revenues and functions that they are charged with. This under resourcing of counties remains a threat to the effective implementation of the subsidiarity proposition in allocation of functions and actual service delivery across levels of government.

Further underscoring the value of the UN-CEPA principles as an analytical framework at all levels, an uneven competency framework persists within and across the two levels of government: national and county. Whereas formative efforts have gone into the development of a public service competency framework for the national government, none exists for county governments. Even then, the national government competency framework remains a proposal that is yet to benefit from stakeholder participation and whole-of-government adoption and implementation.

Leadership remains critical to efforts to attain the greater vision of governance effectiveness. To this end, successful implementation of the CEPA principles of effective governance calls for leadership commitment from the top and centre-of-government. In the case of Kenya, such commitment will be required at the national and county levels including the Cabinet and its Committees, and the Council of Governors and County Executive Committees, respectively.

Against the notion that effective governance requires a supporting policy and legislative environment, the implementation of the CEPA principles requires enabling legislation that standardises practices across government. A lesson learned is that where appropriate, the principles can, as in the Kenyan case, be integrated in legal frameworks with the principles providing an explicit way of identifying strategies for the operationalization of the values of public service embodied in national constitutions and laws[75].

Subsidiarity principle

The constitutional reforms created 47 county governments in Kenya. These governments have powers to formulate subsidiary legislation for public participation and they have largely promulgated these laws. The constitution bestows rights of devolution in areas listed below and attendant laws see to the implementation of the requisite legislation. These cover agriculture; county health services; pollution control; county transport; animal control; pre-primary education; implementation of national government policies on environment; county public works and services; firefighting services and disaster management; control of drugs and pornography; and ensuring and coordinating the participation of communities and locations in governance at the local level. This is the most elaborate and explicit definition of the subsidiarity principle.

Independent oversight principle

Kenya in its reform programme set out to establish a number of Accountability mechanisms that would jointly form a good governance assurance framework. These include (i) the Kenya National Human Rights and Equality Commission; (ii) the National Land Commission; (iii) the Independent Electoral and Boundaries Commission; (iv) the Parliamentary Service Commission; (v) the Judicial Service Commission; (vi) the Commission on Revenue Allocation; (vii) the Public Service Commission; (viii) the Salaries and Remuneration Commission; (ix) the Teachers Service Commission; and (x) the National Police Service Commission. The Chapter also provides for (i) the Auditor-General; and (ii) the Controller of Budget.

Overarching challenges of the UN-CEPA principles

Kenya provides an interesting angle on how a serendipitous moment occasioned by the need for constitutional reforms resonates with the UN-CEPA principles. The principles are upfront and explicit. They are useful in guiding alignment of national frameworks in terms of how strategies fit into the principles and how the principles classify into the three categories of effectiveness, accountability and inclusiveness. As the APRM fulfils its mandate of

75 Based on an informal paper on the Status of Implementation of the CEPA Principles of Effective Governance in Kenya prepared by Prof. Margaret Kobia, Cabinet Secretary, Ministry of Public Service, Youth and Gender Affairs and member of the United Nations Committee of Experts on Public Administration

monitoring SDGs and Agenda 2063, Kenya provides an important case to look into for breakthrough ideas. However, whilst overall progress has tilted in favour of constitutional reforms, Kenya has faced some fierce challenges of political inertia and institutional self-interest, especially when it comes to the principle of oversight. We elaborate on the challenges below:

The devolution of responsibilities for implementation has not been followed by an equally strong and distributed framework for joint monitoring and evaluation, leaving the Public Service as the only institution that remains consistently following up on measurement. Second systems thinking does not appear to be part of the design as Kobia, M. points out in her report titled ***Status of Implementation of the CEPA Principles of Effective Governance in Kenya*** "The absence of a systematic approach to the government policy cycle, in the face of a devolved structure of government, has led to *policy incoherence* within and across levels of government." Exacerbating the challenges is the practice of unfunded mandates that devolution has produced. With an unfunded mandate come challenges of harmonized competency across the service. The smallest level which is confronted by the confluence of all these challenges is often the least equipped to handle integration. Whilst it is crucially important to be transparent, however the proclivity towards political pushback when transparency is demanded typifies the entrenched self-interest. Furthermore, Kobia notes that there are immense benefits from devolution. However, these are undermined by the human resource management function that must observe the arithmetic of *diversity and inclusivity.* Independent oversight often brings with it connotations of independence from oversight. Who guards the guards? Long cycles of development of legislation lead to lapses in practice and loss of momentum. Without a well digitized accountability framework to which adherence should be mandatory, a matter in the noisy democracy is often easier said than done. In the end it boils down to rarity of the commodity of human resources who are a well-trained, ethically oriented, and disciplined workforce.

Socia Economic Atlas of the Republic of Kenya

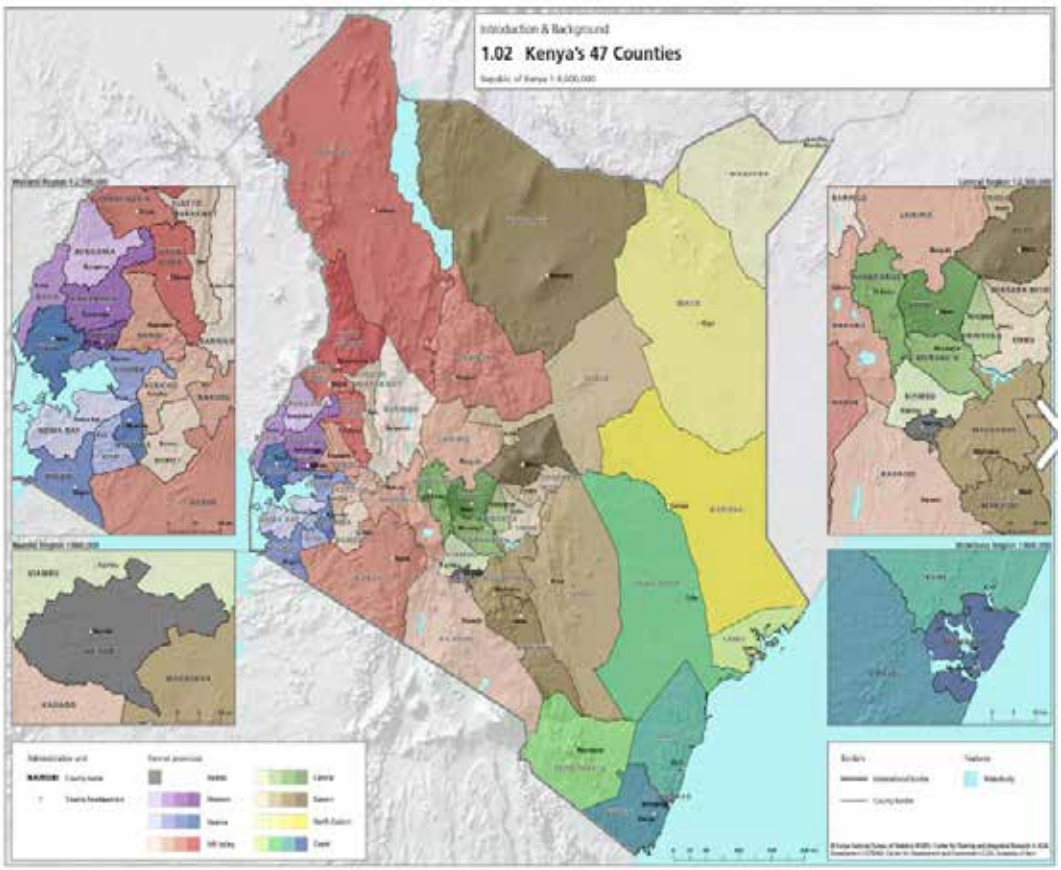


Figure 32: Socio-Economic Atlas of the Republic of Kenya. The figure depicts the National Population Census by County and Sub-Location[76].

76 Wiesmann, U., Kiteme, B., Mwangi, Z. (2016), Second, revised edition. KNBS, Nairobi. CETRAD, Nanyuki. CDE, Bern

Sudan

Sudan has recently emerged from a change of government with the ousting of the President Omar Al-Bashir in a popular revolution. The discussion of the document will be more based on the assessment of what needs to be done rather than the appropriateness or otherwise of the UN-CEPA principles. Only subsequent to the initial dipstick study reported on here, can a view be taken on when, not whether, Sudan is or otherwise can implement the UN-CEPA principles. Based on the report on the mission to Sudan by the APRM, a lot more has to be done in Sudan, which may include orientation on the UN-CEPA principles. What is striking is that despite the audit function in Sudan having existed for almost a century which by far could be the oldest in Africa, this function is in total disrepair. A number of recommendations that have to rebuild Sudan brick by brick follow:

Accountability

The following observations were made regarding the accountability principle in Sudan:

a. The Anti-Corruption Commission shall be established immediately. The ACC shall include senior technocrats who do not practice political activity and are well familiarized with corruption laws and procedures.

b. A mid-term Anti-corruption Strategy (2021-2024) shall follow and be drafted after a broad national consultation to assist the government in fighting endemic corruption across federal bureaucracies. The Strategy shall be designed by the Anti-corruption Commission and ensure inclusiveness of stakeholders' engagement and public officials' needs.

c. To facilitate this, a sub-national coordination committee shall be established and shall ensure inclusive engagement of political figures, focal points in concerned ministries, and experts to draft anti-corruption law. The government shall have realistic targets to achieve till the democratically elected government takes over by 2022.

d. Capacity-building for public servants on governance-development issues is urgently needed. Public servants' awareness on governance issues, including corruption, accountability, and transparency, shall be enhanced. Special attention shall be paid to attract youth and young females into the public service.

e. Digitalisation and investing in the information and communication sector shall be strengthened to facilitate public service delivery and meet citizens' needs. The government shall develop an information and technology strategy to digitalise certain services and offer cost-effective solutions for administrative expenses.

f. The APRM, in collaboration with the STC on Public Service, Advisory Board on Corruption, and AGA, shall develop a roadmap for capacity-building programmes on anti-corruption practices in Sudan.

g. The revised Civil Service Law and Code of Conduct shall include merit-based human resource management and robust control mechanisms.

h. The international community (donors) and regional players, i.e., the AU, shall assist Sudan in upgrading public service delivery through tailor-made programmes and avoid duplicated programmes for similar sectors to raise assistance effectiveness.

i. Sudan shall have its vision on human resource capacities and identified gaps among public service structures, either at federal or community levels. Tailor-made training shall be designed for Sudanese public servants.

j. Strengthen the government statistical capacities and urge the national bureaucracies to consult with the AUC statistical Centre and the UNECA, AfDB to assist in data entry, collecting and analysing specific sectors and budget transparency.

5.4 COVID-19 responses in selected countries

This section displayed strategies on mitigating COVID-19 at national levels. Although few countries responded in this section of the APRM questionnaire on the CEPA principles, the elaboration of the responses will be covered under country case-studies.

Mitigation measures were the most common practices reported by most national respondents. COVID-19 mitigation measures included lockdowns and attendant of all activities, except essential services such as medical care and food production, closures of territorial borders as well as prohibitions of various social and cultural activities. Funerals were limited to only a handful of people. Advisories on social distancing and maintaining hygiene were issued. Relief measures in terms of finance and food parcel distributions were implemented. Those with facilities started working and attending school from home. Daily reporting on the progression of the pandemic was issued by the selected countries.

Senegal

As soon as COVID-19 broke out, the Senegalese government enforced early lockdown of the population and its provisions were communicated on 13 March 2020. These included the effective ban of attendance in all nurseries, educational institutions, vocational training institutions and public and private universities. Accompanying this ban was the implementation of precautionary and preventive measures for employees. These included the reduction in holding of meetings, the reduction in the number of participants, and the promotion and use of modern "Audio/Video-conference" techniques whenever possible. To the extent possible, administrative services migrated online. There was also staff rotation amongst public servants. Furthermore, there was active raising of awareness among employees in public institutions to generalize prevention, hygiene and sterilization methods to protect the safety and health of employees.

The administration postponed recruitment competitions and gave a proviso that it would resume after the containment has been lifted.

The VEC was set up on 11 March 2020 to anticipate the direct and indirect economic impact of the COVID-19 health crisis on the national economy.

To stem the chain of transmission of the pandemic and mitigate its impact on vulnerable households and certain development sectors, the Government took a series of measures: (i) awareness of barrier measures; (ii) ban on street gatherings and demonstrations; (iii) temporary closure of weekly markets, meeting places, schools and universities and places of worship; (iv) limiting the number of passengers in public transport and inter-regional transport; (v) closure of land, sea and air borders; (vi) implementation of an Economic and Social Resilience Programme (SSR) to improve consumption of vulnerable households and affected businesses; (vii) establishment of a response and solidarity fund, called "Force-COVID-19" to the tune of 1,000 billion CFA francs (CFAF) (about 164M US$).

General and specific tax measures will be taken in support of businesses. Business support is estimated at 836 billion CFAF divided into seven (7) sub-components: (i) partial remittance of the tax debt (200 billion CFAF); (ii) extension of suspended VAT (15 billion CFAF); (iii) tax exemptions (2 billion CFAF); (iv) direct support to the most affected sectors (100 billion CFAF); (v) payment due to state suppliers (302 billion CFAF); (vi) financing support mechanism/cash facilities (38.6 billion CFAF); and (vii) partial coverage of revenue losses (178 billion CFAF).

At the same time, the health sector received a package of 64.4 billion CFAF, as well as money from the diaspora which amount to a total of 100 billion CFAF. As part of household support, CFAF 87.5 billion was allocated and divided between the distribution of food (69 billion) and the payment of water and electricity bills (18.5 billion).

South Africa

In Africa, South Africa has been hit the most by the COVID-19 pandemic. Besides the Maghreb Region, which also was badly affected by COVID-19 infections, South Africa has experienced the highest mortality and level of infections on the African continent. Perhaps it is because of it being worst affected that its response to COVID-19 has probably been the most aggressive. Whilst it might have not benefited from the UN-CEPA principles as a lightning rod, South Africa's constitution is well aligned with the UN-CEPA principles. In many respects in terms of planning for mitigation against COVID-19, South Africa's plans have embedded these UN-CEPA principles. We take two principles where South Africa excelled, namely inclusiveness and sound policymaking on the one hand and good practices and slow pace of accountability mechanisms on the other.

South Africa set a sustained command structure that intervened aggressively against COVID-19 with regular updates by the president to the nation. The structure was buttressed by good science. It also set clear objectives for leaving no one behind through sound policymaking. However, the structure and its prescripts have been seriously impacted negatively by acts of looting and lack of accountability.

Inclusiveness

From the onset of COVID-19, South Africa's approach was about saving lives and livelihoods. In this regard, the principle of inclusiveness was the hallmark of the response of the government. At the point of announcing the lockdown level 5, government worked on a plan to provide food parcels mainly to the vulnerable. Side by side with that was the provision of a relief fund of 350 Rands (R) per month to all those who are not employed. During the 2021 State of the Nation Address, the President of South Africa announced the extension of this relief fund to 15th March 2021. In addition, the government extended payment to those whose employment was disrupted by the different lockdown levels to date. Those working in the tourism industry have been worst hit by the lockdown and have benefitted from this Temporary Employer/Employee Relief Scheme (TERS).

Tackling Poverty (Implementation of social protection systems and measures) Government enacted transfers and these are helping to substantially support total income of households in the lower end of the income distribution, reducing the impact of the crisis.

In addition, grant amounts have been increased as of 1 April 2020, and the following grants have been targeted:

a. Grants for older persons and disability grants
b. Grants for war veterans and persons older than 75 years
c. Foster child grants
d. Care dependency grants
e. Child support grants

Tackling hunger and malnutrition

Government has always implemented feeding schemes at school. The pandemic disrupting the school system through extended periods of closure, also implied that the feeding scheme was disrupted. To expand food access more generally and in particular for the children who benefitted from school feeding schemes, government worked with NGO partners on food parcel distribution across the country.

Access to safe drinking water

To ensure water supply to vulnerable communities, the government deployed 41,000 water tanks holding 6000 litres which have been distributed nationally.

Health

Access to quality basic health care and services was expanded and the government appointed community health care workers (CHWs) to assist with tracking and tracing potential COVID-19 cases. About 28,000 CHWs have been deployed going house-to-house in vulnerable communities to screen and test people. Cuban Doctors also arrived in the country to assist in dealing with the pandemic.

Access to medication

The lockdown disrupted value chains, and this would have primarily affected those in need of chronic medication. Provisions were made for access to chronic medication, such as anti-retroviral's. Repeat collection prescription strategies allow individuals to collect anti-retroviral medicine refills from alternative pick-up sites to reduce hospital visits.

Access to sexual and reproductive health services to women

Lockdown regulations have also generally supported access to health care by citizens. In this regard sanitary pads, tampons and condoms were part of the essential goods, in terms of lockdown regulations that were laid down.

Sound policymaking

The pandemic affected both the demand and supply side of the economy, threatening to collapse the value chains and mutating the health crisis into an economic crisis. The President announced a R 500 billion fund to sustain the economy. This was deployed in several sectors of the economy to keep the economy from collapse.

Tourism

South Africa adopted a number of interventions to combat the effects of COVID-19 and to protect lives and livelihoods. These were in many areas, some worst affected sectors like tourism which were impacted by the COVID-19 and have struggled since despite receiving reasonable relief. Government established a Tourism Relief Fund to support the following:

Accommodation establishments: Hotels; Resort properties; Bed and Breakfast (B&B's); Guesthouses; Lodges and Backpackers. Hospitality and related services: Restaurants (not attached to hotels); Conference venues (not attached to hotels), Professional catering; and Attractions. Travel and related services: Tour operators; Travel agents; Tourist guiding; Car rental companies; and Coach operators.

Other economic relief – COVID-19

Relief measures on debt, business growth and resilience scheme, as well as tax measures were taken to relief the burden on business.

Debt relief finance scheme

A relief scheme was mobilised for small and medium businesses which were negatively affected through the provision of direct or indirect short-term relief. A Business Growth/Resilience Facility aimed at small, medium and micro businesses geared to take advantage of supply opportunities resulting from the Coronavirus pandemic and the shortage of goods in the local market was created.

Tax Measures

The government of South Africa has implemented interventions to assist with job retention and assist businesses that may be experiencing significant distress. These measures include:

a) Introduction of a tax subsidy to employers of up to R500 per month for the next four months for those private sector employees earning below R6,500 under the Employment Tax Incentive. This will help over 4 million workers;

b) The South African Revenue Service (SARS) has put a special line of delivery to accelerate the payment of employment tax incentive (ETI) reimbursements from twice a year to monthly to get cash into the hands of compliant employers as soon as possible.

c) Tax compliant businesses with a turnover of R50 million or less will be allowed to delay 20% of their employees' tax liabilities over the next four months and a portion of their provisional corporate income tax payments without penalties or interest over the next six months. This intervention is expected to assist 75,000 small and medium-sized enterprises.

To minimize job losses, Government proposed expanding the ETI programme for four months (1 April – 31 July 2020) as follows:

a) Increasing the maximum amount of ETI claimable by employees eligible under the current ETI Act, from R1000 to R1500, in the first twelve qualifying months and from R500 to R1000 in the second twelve qualifying months.

b) Allowing a monthly ETI claim in the amount of R500 during the four-month period for employees from the ages of 18 to 29, who are no longer eligible for the ETI, as the employer has claimed ETI in respect of those employees for 24 months; and 30 to 65 who are not eligible for the ETI due to their age.

c) Accelerating the payment of employment tax incentive reimbursements from twice a year to monthly as a means of getting cash into the hands of tax compliant employers as soon as possible.

Tax measures for tax compliant small- to medium-sized businesses from 1 April to 31 July 2020: Deferral of payment of 20% of the PAYE liability, without the SARS imposing administrative penalties and interest for the late payment thereof.

a) The deferred PAYE liability must be paid to SARS in equal instalments over the six-month period which commenced on 1 August 2020, i.e., the first payment must be made on 7 September 2020. Government proposed the following tax measures for tax compliant small- to medium-sized businesses, for a period of twelve months, beginning 1 April 2020 and ending on 31 March 2021;

b) Deferral of a portion of the payment of the first and second provisional tax liability to the SARS, without the SARS imposing administrative penalties and interests for the late payment of the deferred amount;

c) The first provisional tax payment due from 1 April to 30 September 2020 will be based on 15% of the estimated total tax liability, while the second provisional tax payment from 1 April 2020 to 31 March 2021 will be based on 65% of the estimated total tax liability; Provisional taxpayers with deferred payments will be required to pay the full tax liability when making the third provisional tax payment in order to avoid interest charges.

Recently, Government has published the Economic Recovery Plan which is under discussion and has as its central thrust infrastructure building, reindustrialisation and building value chains that embrace the African continent with South Africa playing a significant role in the ACFTA. The policy positions that the country has taken continue to be contested as not going far enough and are seen by many as neo-liberal. The recovery and reconstruction plan has been critiqued for not being quantified and having no impact indicators and timeframes.

Challenges

Against all the reforms that South Africa heroically put in place to eliminate apartheid, a number of institutional challenges remain. South Africa for instance has a clear, lauded and revered constitution. Yet within the first twenty-five years of democratic rule, it was possible to destroy and pull down the pillars of democracy and administration to the extent that the rule of law and accountability have become difficult to see in the South African edifice. Regardless, the South African Government shows eagerness to voluntarily be assessed by the APRM on governance aspects.

Slow pace of accountability

If there is any UN-CEPA principle that has been challenged, it is that of accountability. Today South Africa has been relegated to junk status (at the Press Statement made following the IMF January visit to South Africa and the comments by its Managing Director at the Roundtable with the media on 13 January 2021- "We're certainly faced with challenges but we're not yet at Junk Status"). South Africa's junk status is due to a successive programme of maladministration. This occurred despite the constitutional infrastructure that would have cushioned it against such an outcome. Corruption and shameless looting of public funds at the height of COVID-19 and the impunity with which these wanton acts are executed have left the country and its citizens aghast. South Africa is known the world over for having a State of Capture Commission chaired by Deputy Chief Justice Zondo (This is a demonstration of transparency, the rule of law and accountability in action – accountability not lacking but is running its course, albeit slowly). COVID-19 has revealed some of the most glaring gaps in the South African edifice. Ironically it was through the joint action of these constitutional institutions, the Public Protector and the Constitutional Court, that such a Commission became possible. This affirms that good governance principles are an essential cog that restores order. At the same time poverty, inequality and unemployment have remained stubborn, with reversals on all the indicators that underpin the national effort towards a healed nation.

5.5 Conclusions and recommendations

Key messages and recommendations of Chapter Five

- ✓ The APRM should consider adopting the UN-CEPA principles as a framework for implementing its dual mandate of monitoring Aspirations three and four of Agenda 2063, alongside SDG 16.
- ✓ The APRM should seek to elevate the UN-CEPA principles to a statistical standard that should resonate with the SDG Indicators, and as such, the APRM should strive to obtain indicator synergies against which the UN-CEPA principles can be hooked.
- ✓ Because of diversity of application based on uneven awareness, knowledge and understanding the UN-CEPA principles should be driven by a convergence manual of statistical standards and practices that will ease the path for the UN-CEPA indicators to be recognized as a statistical standard by the UN Statistics Commission.
- ✓ An important aspect of standardization is about normalizing practices and, in this regard, the APRM jointly with the UN-CEPA should develop curricula for public administrators and support countries in the institutionalisation of the principles.
- ✓ As part of practice, an evaluation of the practice of the UN-CEPA principles should be undertaken regularly.
- ✓ As part of joint assurance in audit practice, UN-CEPA principles should seek to join this arena.
- ✓ Explore the use of the PSR Model, and
- ✓ Finally, country engagements on UN-CEPA principles should carry with them a dipstick rapid assessment questionnaire on awareness, knowledge and understanding of UN-CEPA principles.

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Annex 1:

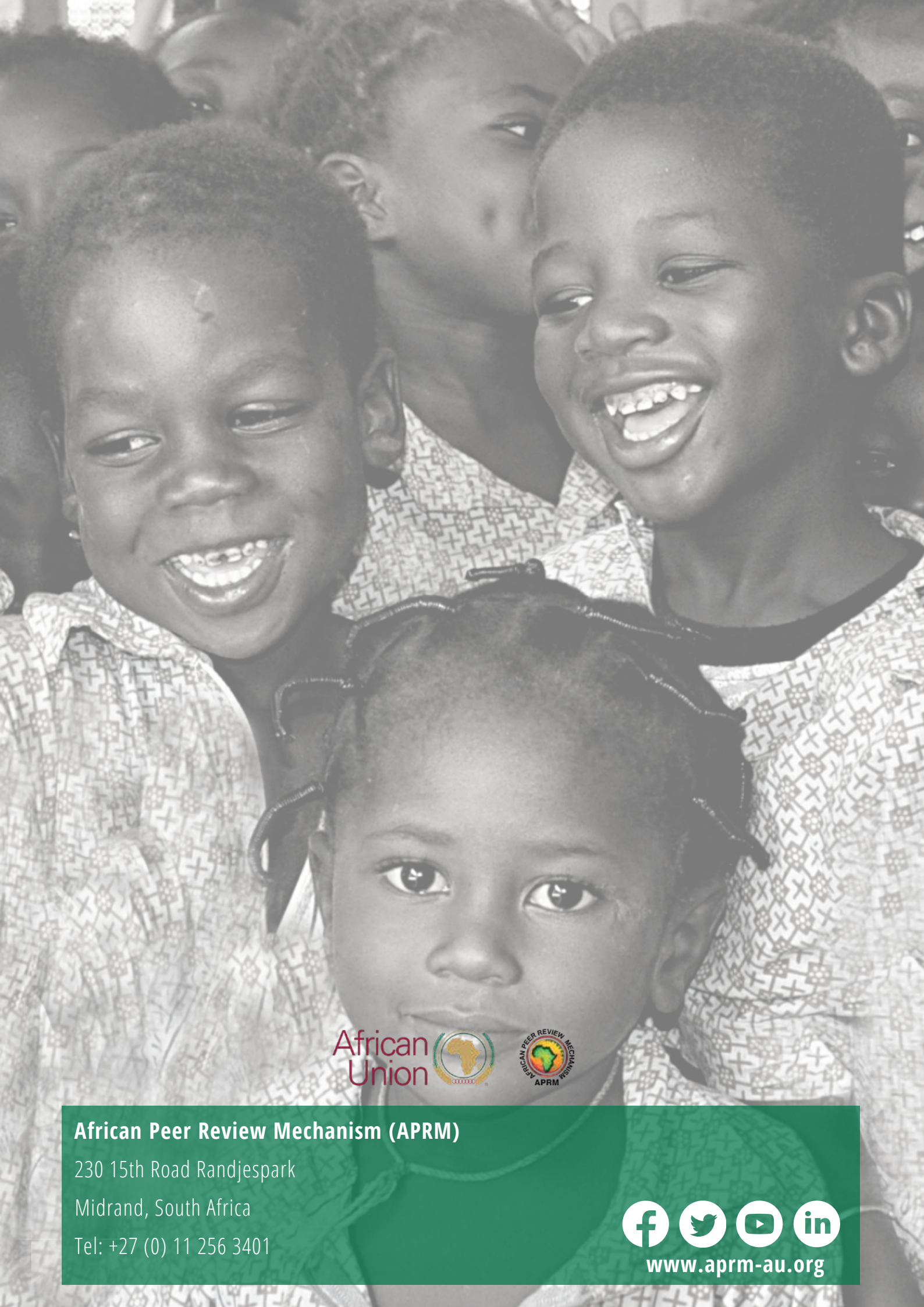
APRM Online Survey of CEPA principles at the end of the document

For further insights on the APRM-CEPA Questionnaire, please visit

https://www.aprmportal.com/submission/open/d19ae59c-1fb2-4345-e809-08d821797fea

Annex 2:

Matrix of Country Responses: Pressure – Responsive Model for adoption of CEPA principles provided on the APRM USB



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